



USAID | UGANDA

FROM THE AMERICAN PEOPLE

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Closing Time: 16:00

**Subject: Request for Applications (RFA) Number 617-06-006
Expanding HIV/AIDS, Tuberculosis and Malaria Services to Northern Central Uganda
(Acholi & Lango Subregions)**

The United States Agency for International Development (USAID) is seeking applications for an Assistance Agreement for funding a program for Expanding HIV/AIDS, Tuberculosis and Malaria Services to Northern Central (Acholi & Lango Subregions) in Uganda. The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

The Recipient will be responsible for ensuring achievement of the program objective as described in the program description. Please refer to the Program Description for a complete statement of goals and expected results.

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be paid under the grant.

Subject to the availability of funds, USAID intends to provide approximately \$30,000,000 in total USAID funding to be allocated over a 5 year period broken down as: 3 years (base period) and 2 years option period.

USAID reserves the right to fund any or none of the applications submitted.

For the purposes of this program, this RFA is being issued and consists of this cover letter and the following:

1. Section A - Grant Application Format;
2. Section B - Selection Criteria;
3. Section C – Program Description;
4. Section D - Certifications, Assurances, and Other Statements of Applicant/Grantee;

For the purposes of this RFA, the term "Grant" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer".

Sincerely,

Gary Juste
Regional Agreement Officer
Acquisition & Assistance Office
USAID/Uganda

If you decide to submit an application, it should be received by the closing date and time indicated at the top of this cover letter at the place designated below for receipt of applications. Applications and modifications thereof shall be submitted in envelopes with the name and address of the applicant and RFA # (referenced above) inscribed thereon, to:

(By U.S. Mail)

RFA 617-06-006
Acquisition & Assistance Office
DOS/USAID
2190 Kampala Place
Washington, DC 20521-2190

(By All Other Means of Delivery)

RFA 617-06-006
Acquisition & Assistance Office
Plot 42 Nakasero Road
P.O. Box 7856
Kampala, Uganda

Applicants are requested to submit both technical and cost portions of their applications in separate volumes. Award will be made to that responsible applicant(s) whose application(s) offers the greatest value.

Issuance of this RFA does not constitute an award commitment on the part of the Government. The Government will not pay for costs incurred in the preparation and submission of an application. In addition, final award of any resultant grant(s) cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the applicant; should circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense.

In the event of an inconsistency between the documents comprising this RFA, it shall be resolved by the following descending order of precedence:

- (a) Section II - Selection Criteria;
- (b) Section I - Grant Application Format;
- (c) the Program Description;
- (d) This Cover Letter.

Any questions concerning this RFA should be submitted in writing to Patrick Mugabo via internet at Pmugabo@usaid.gov and Marie-Claire Sow at Mcsow@usaid.gov by April 13, 2006. Applicants should retain for their records one copy of all enclosures which accompany their application.

Table of Contents Page	
SECTION A - GRANT APPLICATION FORMAT	4
SECTION B - SELECTION CRITERIA	12
SECTION C - PROGRAM DESCRIPTION.....	15
SECTION D.....	31
CERTIFICATION REGARDING MATERIAL SUPPORT AND RESOURCES	39
SECTION E - ANNEXES.....	63

SECTION A - GRANT APPLICATION FORMAT

1. PREPARATION GUIDELINES

- a. All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section B addresses the technical evaluation procedures for the applications. Applications shall be submitted in two separate parts: (a) technical and (b) cost or business application. Three hard copies of each shall be submitted in addition to the email submission as described in the cover letter of this RFA.
- b. The application shall be prepared according to the structural format set forth below. Applications must be submitted no later than the date and time indicated on the cover page of this RFA, to the location indicated in the cover letter accompanying this RFA. Applications which are received late or are incomplete run the risk of not being considered in the review process. Late applications will only be considered for award if the Agreement Officer determines it is in the Government's interest.
- c. Technical applications should be specific, complete and presented concisely. A lengthy application may not in and of itself constitute a well thought out application. Applications shall demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. The applications should take into account the technical evaluation criteria found in Section B.
- d. Page Limitation and Unnecessarily Elaborate Applications: The length of the Technical application shall not exceed 40 (forty) pages. **the performance monitoring and evaluation plan, past performance information and personnel resumes are excluded from this page limitation.** In addition, there is no page limitation on the Cost Proposal. However, unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the prospective recipient's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.
- e. Explanations to Prospective Recipients: Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing to the Agreement Specialist at the email address set forth in the RFA cover letter. Oral explanations or instructions given before award of a Cooperative Agreement will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.
- f. Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes must be initialed by the person signing the application. To facilitate the competitive review of the applications, applications shall conform to the format prescribed below.
- g. Submission of Applications by Email (Important!)
 1. Preferred software for email attachments: Microsoft Word (for narrative text) or Excel (for tables). Please convert your documents to one of these software programs before sending them to USAID. If we convert them for you, the resulting formatting may not be what you would like us to be reviewing.

2. After you have sent your proposals by email, please immediately check your own email to confirm that the attachments you intended to send were indeed sent. If you discover an error in your transmission, please send the material again and note in the subject line of the email that it is a "corrected" submission. Please do not wait for USAID to advise you that certain documents intended to be sent were not sent, or that certain documents contained errors in formatting, missing sections, etc. Each applicant is responsible for its submissions, so please inspect your own emails.
 3. Please do not send the same email to us more than one time unless there has been a change, and if so, please note that it is a corrected email. If you send multiple copies of the same email, we do not know if there has been any change from one email to the next.
 4. Your organization should appoint one person to send in the email submissions. If we receive email submissions from more than one person in your organization, we do not know who the authorized person is, and we cannot tell whether there has been a change from one email to the next without considerable effort on our part.
 5. If you send your application by multiple emails, please indicate in the subject line of the email whether the email relates to the technical or cost proposal, and the desired sequence of multiple emails (if more than one is sent) and of attachments (e.g. "no. 1 of 4", etc.). For example, if your organization's name is ABXY Consulting, and your cost proposal is divided and being sent in as two emails, the first email should have a subject line which says: "ABXY, Cost Proposal, Part 1 of 2". If you do not do this clearly, we may not be sure of the correct order of the separate parts of your application. Our preference would be that each technical and each cost proposal be submitted as a single email attachment, e.g. that you consolidate the various parts of a technical proposal into a single document before sending it. But if this is not possible, please provide instructions on how the multiple parts are supposed to fit together, especially the sequence. What is obvious to you as the preparer of the document may not be obvious to us. Your application may not get optimal treatment if we are confused regarding the order and composition of your application.
- h. The hard copies of applications and modifications thereof shall be submitted in sealed envelopes or packages addressed to the office specified in the cover letter of this RFA, with the RFA number, the name and address of the applicant, and whether the contents contain technical and/or cost proposals noted on the outside of the envelopes/packages.
 - i. Telegraphic applications will not be considered
 - j. Preparation of Applications:
 1. Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk.
 2. Each applicant shall furnish the information required by this RFA. On the hard copies of applications, the applicant shall sign the application and certifications and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

3. Applicants which include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes should:

(a) Mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in pages____."; and

(b) Mark each sheet of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

2. TECHNICAL APPLICATION

The technical approach will be evaluated on the overall merit (analysis and comprehension of the Ugandan context, responsiveness of overall program objectives and approaches to this context, sound application of state-of-the-art technical knowledge, creativity and clarity) and feasibility of the program approach and strategies proposed to achieve the PHA Program's results.

INSTRUCTIONS

- a. The technical application must set forth the conceptual approach, methodology, and techniques for the accomplishment of the stated objectives. It should reflect a thorough understanding of the current context and policy environment in Uganda; describe how the recipient will achieve the objectives specified in the program description.
- b. The application must describe a detailed Implementation Plan for achieving the prospective cooperative agreement expected program results.
- c. It is recommended that an applicant study the selection/evaluation criteria outlined in Section B of this RFA and organize its application accordingly.
- d. The applicant should discuss how resources will be organized to obtain expected results. The applicant should discuss fully the "what" and the "how" of its plan. The purpose of this approach is to allow the applicant greater creative freedom to develop a plan for resource organization and use.
- e. Additional Information about Staffing, Institutional Capacity, and Past Performance components of the Technical Plan: The Project Management, Institutional Capacity, and Staffing components of the Technical Plan should include the information specified in paragraphs 1-4 below.

1. **Key Personnel/Management Plan:** Specify the composition and organization structure of the entire implementation team (including home office support) and describe each staff member's role, technical expertise, and estimated amount of time each will devote to the project. Indicate the names and provide resumes of all important managerial and technical personnel to be assigned to this program activity. Proposed personnel not yet identified may be shown as "TBD" (to be determined).
2. **Organizational Capability:** Applicants must offer evidence of their technical resources and expertise in addressing relevant problems and issues. Care should be taken to establish the relevance of past experience to this program and the basis for reliance upon that experience as an indicator of success on this program. Information in this section should include (but is not limited to) the following:
 - * Brief description of organizational history/expertise;
 - * Pertinent work experience and representative accomplishments in developing and implementing programs of the type required under the proposed RFA;
 - * Evidence of a successful record of implementing projects overseas, and in Uganda, if applicable;
 - * Relevant experience with proposed approaches;
 - * Institutional strength as represented by the breadth and depth of experienced personnel in projects in relevant disciplines/areas;
 - * Sub-recipient capabilities and expertise;
 - * Proposed field management structure and financial controls; and
 - * Home-office backstopping and its purposes.
3. **Past Performance References:** Applications must include a complete list of all U.S. Governmental and/or privately funded contracts, grants, cooperative agreements, etc. received by your organization in the last three fiscal years involving programs similar to the program proposed in your application. Include the following for each award listed:
 - * Name of awarding organization or agency;
 - * Address of awarding organization or agency;
 - * Place of performance of services or program;
 - * Award number;
 - * Amount of award;
 - * Term of award (begin and end dates of services/program);
 - * Name, current telephone number, current fax number, and email address (if one is available) of a responsible technical representative of that organization or agency; and
 - * Brief description of the program.
4. **Subgrantees/Subcontracts:** Organizations may not possess all the skills required to achieve all the results identified in this RFA. Organizations are urged to enter into substantial partnerships with other non-profit and for profit organizations as sub-grantees or sub-contractors that clearly demonstrate value added skills. However, one organization shall be designated to serve as the prime organization and will be responsible for the achievement of results and the implementation of the program. If the applicant plans to collaborate with other organizations, government agencies or indigenous organizations for the implementation of the award, the services to be provided by each agency or organization shall be described. Applicants which, intend to utilize subgrantees and/or subcontractors shall indicate the extent intended, the method of

identifying them and the tasks/functions they will be performing. Applicants shall state whether or not they have existing relationships with these other organizations and the nature of the relationship (e.g., subgrantee, subcontractor, partnership etc). The applicant must specify the technical resources and expertise of proposed subcontract/subrecipient organizations. Technical plan information for proposed major subgrantees and/or subcontractors should follow the same format as that submitted by the applicant.

3. COST APPLICATION FORMAT

- a. The Cost or Business Application is to be submitted under separate cover from the technical application. Certain documents are required to be submitted by an applicant in order for an Assistance Officer to make a determination of responsibility. However, it is USAID policy not to burden applicants with undue reporting requirements if that information is readily available through other sources.
- b. The following sections describe the documentation that applicants for Assistance award must submit to USAID prior to award. While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary detail to address the following:
 - A. Include a budget with an accompanying budget narrative which provides in detail the total costs for implementation of the program your organization is proposing. The budget must be submitted using Standard Form 424 and 424A which can be downloaded from the USAID web site http://www.usaid.gov/procurement_bus_opp/procurement/forms/SF-424/;
 - the breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
 - the breakdown of all costs according to each partner organization (or sub-awardee) involved in the program;
 - the costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
 - the breakdown of the financial and in-kind contributions of all organizations involved in implementing this Cooperative Agreement;
 - Your procurement plan for commodities (note that contraceptives and other health commodities will not be provided under this Cooperative Agreement).
 - B. A current Negotiated Indirect Cost Rate Agreement;
 - C. Required certifications and representations (as attached):
 - D. Applicants who do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from USAID or another agency of the US Federal government shall also submit the following information:

1. copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;
 2. projected budget, cash flow and organizational chart;
 3. A copy of the organization's accounting manual.
- E. Applicants should submit any additional evidence of responsibility deemed necessary for the Assistance Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:
1. Has adequate financial resources, or the ability to obtain such resources as required during the performance of the award.
 2. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.
 3. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.
 4. Has a satisfactory record of integrity and business ethics; and
 5. Is otherwise qualified and eligible to receive a grant under applicable laws and regulations (e.g., EEO).
- F. Applicants that have never received a grant, cooperative agreement, or contract from the U.S. Government are required to submit a copy of their accounting manual. If a copy has already been submitted to the U.S. Government, the applicant should advise which Federal Office has a copy.
- G. Certificate of Compliance: Please submit a copy of your Certificate of Compliance if your organization's systems have been certified by the USAID/Washington's Acquisition & Assistance Office.

4. COOPERATIVE AGREEMENT AWARD

1. The Government will award only one cooperative agreement resulting from this RFA to the responsible applicant whose application conforming to this RFA offers the greatest value (see section B). The Government may (a) reject any or all applications, or (b) accept other than the lowest cost application.
2. The Government may award a cooperative agreement on the basis of initial applications received, without discussion. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint. As part of its evaluation process, however, USAID may elect to discuss technical, cost or other pre-award issues with one or more applicants. Alternatively, USAID may proceed with awardee selection based on its evaluation of initial applications received and/or commence negotiations solely with one applicant.

3. A written award mailed or otherwise furnished to the successful applicant(s) within the time for acceptance specified either in the application(s) or in this RFA (whichever is later) shall result in a binding cooperative agreement without further action by either party. Before the application's specified expiration time, if any, the Government may accept an application, whether or not there are negotiations after its receipt, unless a written notice of withdrawal is received before award. Negotiations or discussions conducted after receipt of an application do not constitute a rejection or counteroffer by the Government.
4. Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting cooperative agreement unless explicitly stated otherwise in the agreement.
5. To be eligible for award of a cooperative agreement, in addition to other conditions of this RFA, organizations must have a politically neutral humanitarian mandate, a commitment to non-discrimination with respect to beneficiaries and adherence to equal opportunity employment practices. Non-discrimination includes equal treatment without regard to race, religion, ethnicity, gender, and political affiliation.
6. Applicants are reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/subawards issued under this contract/agreement.
7. Foreign Government Delegations to International Conferences - Funds in this prospective agreement may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as provided in ADS 303 Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences [<http://www.info.usaid.gov/pubs/ads/300/refindx3.htm>] or as approved by the Agreement Officer.
8. "USAID Disability Policy - Assistance (December 2004)
 - a. The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website: <http://www.usaid.gov/about/disability/DISABPOL.FIN.html>.
 - b. USAID therefore requires that the recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant or cooperative agreement. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities."

5. AUTHORITY TO OBLIGATE THE GOVERNMENT

The Acquisition & Assistance Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed cooperative agreement may be incurred before receipt of either a fully executed cooperative agreement or a specific, written authorization from the Acquisition & Assistance Officer.

SECTION B - SELECTION CRITERIA

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications and (b) set the standard against which all applications will be evaluated. To facilitate the review of applications, applicants should organize the narrative sections of their applications in the same order as the selection criteria.

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Thereafter, the cost application of all applicants submitting a technically acceptable application will be opened and costs will be evaluated for general reasonableness, allowability, and allocability. To the extent that they are necessary (if award is made based on initial applications), negotiations will then be conducted with all applicants whose application, after discussion and negotiation, has a reasonable chance of being selected for award. Awards will be made to responsible applicants whose applications offer the greatest value, cost and other factors considered.

Awards will be made based on the ranking of proposals according to the technical selection criteria identified below.

Technical Evaluation Criteria

1. Technical Approach (50 points)

1. Presentation of strategic and technical approach(es) that will increase the delivery of HIV/AIDS and infectious disease services (Tuberculosis and malaria)¹, with a focus on Internally Displaced People (IDP) living beyond the municipalities in the insecure Acholi and Lango subregions in Uganda.
 - Does the applicant articulate opportunities and constraints related to HIV/AIDS, tuberculosis (TB) and malaria service delivery in insecure and conflict affected areas, including articulation of issues related to coordination and service delivery beyond the municipalities?
 - Does the applicant demonstrate an ability to shift strategic focus, as needed, if the environment changes i.e. insecurity increases or peace is achieved and IDPs return home?
 - Does the applicant demonstrate effective practices, including coordination, for improving service delivery and planned targets for HIV/AIDS, TB and malaria services in insecure and conflict affected settings?
 - Does the applicant demonstrate how it will facilitate and strengthen networked services for HIV/AIDS, TB and malaria in insecure and conflict affected settings, which effectively engages and builds the capacity of the public sector and civil society including, including families and community, faith and People Living with HIV/AIDS (PLHIV) groups?
 - Does the applicant identify the different situations and circumstances which increase the risk of transmitting HIV/AIDS and TB to and within specific vulnerable groups [e.g. women,

¹ Although malaria activities will not be determined until 2007, applicants should demonstrate an understanding of the malaria situation and national response in Uganda. Opportunities for achieving results prioritized through the U.S. President's Malaria Initiative should be highlighted in the proposal. It is not expected that this activity would undertake indoor residual spraying.

girls, vulnerable children, PHAs, People with Disabilities (PWDs)] in insecure and conflict affected setting; and present credible strategies that will effectively and appropriately reduce these vulnerabilities?

- Does the applicant effectively outline a strategy for leveraging partners, activities and Services? Does the applicant demonstrate substantive and coordinated partnering with existing USAID, USG and non USG partners in insecure and conflict affected settings to maximize opportunities and enhance utilization of comprehensive services for PHAs and their respective families? Does the applicant demonstrate a thorough understanding of what Emergency Plan (EP) funds can and cannot support in this area?

2. Personnel & Management Structure (30 points)

- Does the applicant indicate how the proposed management structures and staffing address gender and Greater Involvement of People Living with HIV/AIDS (GIPA) principles?
- Does the applicant demonstrate effective and cost-efficient management structure to achieve project goals, objectives and targets? If the management structure includes a consortium of partners, does each partner demonstrate a clearly defined and substantive contribution to achieving activity results?
- Has the applicant demonstrated ability and clearly articulated systems to effectively monitor activities and results? Monitoring and reporting systems should effectively support local government systems.
- Do the personnel proposed have relevant professional qualifications, relevant experience appropriate to manage and achieve results?
- Does the applicant demonstrate commitment to using Ugandan professionals and managers to play a significant role in the management and implementation of this program?

3. Institutional Capacity (10 points)

Applicants will be evaluated on the basis of the extent to which they have:

- Demonstrated organizational knowledge and capability to develop, manage, and implement similar HIV/AIDS, TB, and Malaria programs in Africa, including local organizational strengthening/development.
- Demonstrated institutional capability, organizational systems, and competence to creatively plan, implement, support, monitor and report on similar activities.

4. Past Performance (10 points)

- Past experience in developing, managing, and implementing similar programs in Africa, including local organizational strengthening/development. Does the applicant describe relevant work experience and representative accomplishments in implementing similar programs and in managing similar partnerships in Africa?

Cost Evaluation Criteria

1. Cost Effectiveness and Realism

- Proposed costs shall be analyzed for cost realism, reasonableness, completeness, and allowability. Are the costs realistic for the effort? Do the proposed costs demonstrate that the applicant understands of the requirements and consistence with the technical application?

2. Adequacy of budget detail and financial feasibility

Applications will be ranked in accordance with the selection criteria identified above. USAID reserves the right to determine the resulting level of funding for the cooperative agreement.

The selection process will involve Oral presentations, which will be conducted in Kampala, with those applicants whose application, has a reasonable chance of being selected for award.

Technical versus Cost considerations: For this RFA, technical considerations are more important than cost.

SECTION C - PROGRAM DESCRIPTION

Expanding HIV/AIDS, Tuberculosis and Malaria Services to Northern Central Uganda (Acholi & Lango Subregions)

Summary

USAID/Uganda anticipates making an award for a continuation application up to \$30,000,000. The cooperative agreement will be awarded for an initial 36 months with a two year option period. Under this program, the recipient will be responsible for facilitating the delivery of HIV/AIDS and infectious disease (tuberculosis (TB) and malaria²) services in the Acholi and Lango subregions³, through capacity building, technical assistance and funding. The recipient will also be responsible for facilitating access to wrap around⁴ services such as family planning, nutritional programs, water and sanitation activities and income generating initiatives, for people living with HIV/AIDS (PHAs) by partnering with U.S. Government (USG) and non-USG activities.

In support of these goals, USAID/Uganda seeks an implementing partner to achieve the following objectives in the Acholi and Lango subregions. Emphasis should be placed on expanding services to internally displaced people⁵ (IDP) beyond the municipalities:

1. Increase access to and utilization of HIV/AIDS and infectious disease prevention, care and treatment services, with a focus on identifying HIV positive individuals and facilitating access to networked care and treatment services. Relative Emphasis: 50%
2. Decrease vulnerabilities for specific groups to HIV/AIDS (e.g. women, girls, vulnerable children, people living with disabilities (PWD), PHAs, and people affected by conflict). Relative Emphasis: 25%
3. Increase access of PHAs and their families to wrap-around services such as nutritional programs, water and sanitation activities, income generating initiatives and family planning through effective partnerships with other USG and non-USG supported programs. Relative Emphasis: 15%
4. Improve coordination of HIV/AIDS and TB responses, with emphasis at subcounty and IDP camp level. Relative Emphasis: 10%.

² Malaria specific activities will be determined during the development of the US Presidential Malaria Initiative (PMI) FY2007 malaria country operational plan.

³ Emphasis should be on reaching HIV positive individuals, and their families and vulnerable groups not being reached through the municipalities.

⁴ Wrap Around services refer to services that have been identified as essential to ensuring the well-being of PHAs but cannot be funded through the USG Emergency Plan for HIV/AIDS. It is expected that the recipient will leverage additional resources, activities and partnerships in order to ensure access to critical services not funded through the Emergency Plan. This activity does not include recipient cost-share.

⁵ Although services will be targeted to IDPs living beyond the municipalities, host communities will benefit. It is expected that when security permits, people will return home voluntarily in accordance with the GOUs IDP policy. Interventions and services will be redirected as needed.

Introduction and Background

Uganda is a sub-Saharan country of 25.7 million people, with 85 percent of the population living in rural areas. Uganda has had considerable success in reducing prevalence of HIV/AIDS over the past 15 years from a national average of around 18 percent (up to 30 percent in selected urban antenatal clinics) to the current level of 6.4 percent. However, despite initial successes of the late 1980s and early 1990s, the decline in prevalence has stagnated over the past five years and no longer shows a downward tendency.

In the Acholi and Lango subregions, HIV/AIDS is reported to outweigh death due to conflict. HIV prevalence (8.3%) is higher than national average (6.4%) and more than double the rates of surrounding regions. Prevalence is higher among women (9.2%) than men (7.1%). Prevalence among the military remains unknown. The HIV/AIDS situation in the north is characterized by poor access, uneven distribution and poorly linked care, treatment and referral services. Services are limited to municipalities and IDP camps closest to towns. There are over 200 camps in the Acholi and Lango subregions. Food and basic support are the primary services available to vulnerable populations. Antiretroviral therapy (ART) is currently limited to regional hospitals and private not for profit facilities in the municipalities, limiting access for most of the population. National efforts to strengthen drug supply, commodity and logistics systems have been severely hampered by insecurity.

Furthermore, IDP camps are ravaged by conflict, social disruption, poverty and powerlessness. Sexual and Gender Based Violence (SGBV) and sexual exploitation appear to be widespread and increase the risk to young girls and women to HIV/AIDS and sexually transmitted infections (STIs). 31% of unmarried older (15-19) adolescent girls are involved in less formalized transactional sex and report ever having received money or gifts in exchange for sex. An estimated 40,000 people continue to night commute each day from peripheries to towns in search of safe zones especially in urban centers where they are considered safer. Temporary shelters have been constructed for night commuters; however, there are limited child protection measures to protect against SGBV in these settings. The majority of night commuters are aged between 6 and 17 years. A survey by the International Organization for Migration indicated that about 59.7% of household members in IDP camps are children under the age of 18. Currently, 21% of adolescents in Acholiland are not staying with either parent.⁶

All districts in Uganda are now implementing Community-Based - Directly Observed Therapy Short Course (CB-DOTS). Ten districts have achieved a sputum smear positive rate of over 60%, and 13 districts have achieved a treatment success rate of over 80% in sputum smear positive cases. Support for human resources has been mobilized, incipient laboratory external quality assurance activities are underway, and a new TB drug management and logistics system is being implemented. A policy on TB / HIV/AIDS has been drafted, as well a communications package for CB-DOTS and TB/HIV/AIDS. Concentrated support to improve integration of TB/HIV/AIDS services has begun.

A TB needs assessment conducted in two of the northern districts in February 2004 revealed a situation mirroring that of HIV/AIDS. Access to TB care is poor, and generally is available only in hospitals and district towns. It is further expected that TB rates in the north are higher due to higher levels of malnutrition and HIV. The 2004 number of TB cases detected and initiated on treatment varies by region and district. The Acholi subregion ranges from 24.3% to 47.4% to 81.7%, for Pader, Kitgum and Gulu respectively. In the Lango subregion, Apac reported 51.4% of cases detected and initiated on treatment while Lira reported 79%. High rates of default exist among those receiving treatment, increasing the risk of relapse, chronic disease and transmission of multi-drug resistant TB. TB completion rates again varied significantly across districts: Pader 32.3%, Kitgum 65.2%, Gulu 73.4%, Apac 92% and Lira

⁶ Draft Emergency Action Plan, National Committee on AIDS in Emergency Settings, September 2005.

77.2%. CB-DOTS coverage remains very low in Pader and Kitgum. Reporting on integrated HIV/AIDS and TB services remains limited due to turn over of district focal point staff.

Malaria is endemic in 95% of Uganda. The remaining 5% of malaria transmission lies in the highlands of the South West and East, which are epidemic-prone. Malaria is the leading cause of morbidity and mortality, accounting for 39% of out patient's visits at health facilities, 35% of all hospital admissions and 14% of all hospital deaths. Nearly half of hospital in-patient deaths were to children under 5. Current estimated annual numbers of deaths from malaria range from 70,000 to 100,000. Cases of malaria have been increasing in recent years, with fever cases in 2004 estimated to be 65 million.

Malaria mortality is very high in IDP camps, especially among children less than 5 years. A study conducted by WHO, MoH and Partners in July 2005 surveyed 3 districts in the North and showed malaria mortality ranging between 42.9% and 52.5%, making malaria the single most important cause of childhood mortality in the IDP camps. There is no documented strategy for malaria control in these camps but there are opportunities for intervention to improve the health of the camps in general and malaria control in particular.

Although USG/Uganda has had a number of programs supporting the delivery of HIV/AIDS, TB and malaria services in the Acholi and Lango subregions, many of these services are limited in geographical scope and have been situated closer to municipalities and main roads. Overall support has remained fragmented. Several USG programs with larger, more comprehensive HIV/AIDS and TB responses in the North are also ending in the next 6-18 months. Nevertheless, ART is currently expanding through USG supported programs such as Joint clinical Research Center, TASO, Catholic Relief Services and Global Fund support reaching all Acholi and Lango subregions.

Support to OVC is also expanding through USG supported grants under the Ministry of Gender, Labour and Social Development (MGLSD) and other USG and Global Fund supported programs. A solicitation specific to orphans and other vulnerable children living in the Acholi and Lango subregions is expected through the MGLSD in calendar year 2006. Year one of the PMI in Uganda is prioritizing the expansion of malaria services to the Acholi and Lango subregions. Activities under PMI include distribution of long-lasting insecticide treatment nets in IDP camps, ensuring health facilities have adequate stocks artemisinin-based combination therapies (ACTs) and other commodities, strengthening malaria services for pregnant women including facility and community-based delivery of intermittent preventive therapy, and supporting and strengthening home-based management of fever.

USAID/Uganda has developed a comprehensive strategy to address the needs of people affected by conflict in the North Central and other conflict areas in Uganda, particularly those living in internally displaced people's (IDP) camps. Core elements of the strategy include improving access to HIV/AIDS and infectious disease services. In addition, under the leadership of the Office of the Prime Minister and coordinated through the Uganda AIDS Commission, USAID is an active member of the National Committee in AIDS in Emergency Settings (NACAES), which was recently established to facilitate and coordinate the HIV/AIDS response to the North.

The President's Emergency Plan (EP)

The President's Emergency Plan for AIDS Relief (EP) is one of the most significant global initiatives assisting fifteen high prevalence countries in responding to the HIV/AIDS epidemic. The EP has clear global targets of ensuring that 2 million people access treatment, 7 million new infections are averted and 10 million PHAs access quality palliative care services. Uganda is one of the fifteen focus countries under the EP and its targets include 70,000 people living with HIV/AIDS receiving treatment and 325,000 receiving palliative care by 2008, while averting 165,000 new infections by 2010. Planning and

implementation of the EP program in Uganda is the domain of the country USG team led by the US Ambassador to Uganda.

USG agencies in Uganda, under leadership of the State Department, have merged efforts to develop a common five-year country strategy, and annually, the team develops an HIV/AIDS Country Operational Plan (COP). Both the strategy and the COP seek to expand and strengthen the coverage and scope of HIV/AIDS services in Uganda, while at the same time building institutional capacity and networked systems for long-term sustainable support to service delivery. Development of both the strategy and annual COPs is characterized by extensive stakeholder consultations to ensure that activities are aligned with national and local priorities.

An Advisory Committee, under Uganda's Office of the President, provides overall guidance for the Emergency Plan and is made up of members of the Government of Uganda, nongovernmental organizations (NGOs), faith-based organizations (FBOs), PHAs, community-based organizations (CBOs), private sector, and development partners. This committee ensures that U.S. Government support to HIV/AIDS under the Emergency Plan in Uganda reflects priorities and addresses needs as determined by the National Strategic Framework for HIV/AIDS and other key policy frameworks. The committee also ensures linkages and consistency with other development and HIV/AIDS activities, including the Global Fund for HIV/AIDS, TB and Malaria, the World Bank Multi-Country AIDS Programs, and the new U.S. Presidential Initiative for Malaria (PMI).

The vision of the USG in Uganda under the U.S. President's Emergency Plan is: "Within the framework of Uganda's multi-sectoral response⁷, the Emergency Plan will contribute to strengthening national capacity to address the HIV/AIDS epidemic, achieving improved quality of life, equitable access to services, and sustainable systems". This will be done through a number of pillars that were identified by the Emergency Plan team:

- Strong family and community response to HIV/AIDS;
- Effective decentralization through broad national reach and work with a host of partners;
- Broad portfolio of quality activities, some of which have already proven to be effective, some of which are innovative new programs and pilots; and
- Focus on outcomes to reach Emergency Plan Uganda's five year targets, which are to provide ARV treatment to 70,000, avert 165,000 infections and provide care and support to 325,000 HIV infected people and orphans.

The USAID Program

USAID's program in Uganda contributes to Uganda's Revised Poverty Eradication Action Plan (PEAP), which is Uganda's comprehensive development framework. The PEAP, most recently revised in 2004, has guided the formulation of the GOU's policy since its inception in 1997. USAID's programs in economic growth; support to social sectors; promotion of democracy and governance; and assistance to people affected by conflict directly contribute to the five pillars of the PEAP: 1) Economic Management; 2) Production, Competitiveness and Incomes; 3) Security, Conflict-Resolution and Disaster Management; 4) Governance; and 5) Human Development.

Uganda has been termed a **transformational development country with elements of fragility**⁸. Given the combination of opportunities to build on substantial progress in Uganda and potential vulnerabilities

⁷ As outlined in the National Strategic Framework for HIV/AIDS

⁸ Promoting transformational development and strengthening fragile states are two of the five core operational goals outlined for U.S. Government foreign aid. (White Paper on U.S. Foreign Aid, Meeting the Challenges of the Twenty-first Century, Bureau for Policy and Program Coordination, USAID, January 2004)

that could slow or undermine continued success, the Mission's strategy addresses all of the Operational Goals in USAID's Strategic Framework for Africa, both transformational development (TD) and fragile (F), in an integrated manner. These Operational Goals are:

- Goal: 1. Foster a healthier, better educated, and more productive population (TD)
- Goal: 2. Increase the effectiveness of African institutions in promoting a vibrant private sector and democratic governance (TD)
- Goal: 3. Avert and resolve conflict (F)
- Goal: 4. Manage crises and promote stability, recovery and democratic reform (F)

The USAID program in Uganda has established four strategic objectives that contribute to Uganda's Poverty Eradication Action Plan (PEAP) objectives, as well as the goals set forth in the Africa Bureau Strategic Framework. The Mission's integrated approach recognizes the critical factors that must be addressed, and seeks to build in flexibility and cross-fertilization among strategic objectives and their programs.

Transformational Development (TD) Strategic Objectives

Programs over the 2006 – 2010 time period will contribute to the “people-oriented side” and “institutional side” of development through support for two transformational development strategic objectives: 1) “Expanding Sustainable Opportunities for Rural Sector Growth”, which contributes to results in agricultural productivity, private sector growth, and the Agency's special concern for biodiversity conservation; and the 2) “Improved Human Capacity” Strategic Objective (SO) that integrates HIV/AIDS, education and health programs with a focus on strengthening indigenous institutions and improving human capacity within Uganda's social sectors. Though these strategic objectives are termed transformational development, their contribution to mitigating the impacts of vulnerability is crucial, especially in increasing access to essential services provided by local and national institutions.

The integrated approach of the human capacity program seeks to: 1) improve the effective use of basic social sector services; 2) increase the capacity in the public and private sectors to sustain the delivery of quality social services; and 3) strengthen the policy environment and social support for the delivery and use of these social services. Special attention will be given to displaced populations that are particularly vulnerable. Uganda is making progress, with USAID assistance, toward sustainable improvements in the educational attainment and health status of the population. USAID efforts support the GOU commitment to improve education, HIV/AIDS and health indicators, particularly those that have stagnated, such as HIV incidence and reproductive health.

Fragile States Strategic Objectives:

USAID's definition of “fragile states” refers generally to a broad range of failing, failed, and recovering states. However, the distinction among them is not always clear. The Fragile States Strategy distinguishes between fragile states that are *vulnerable* and those that are already *in crisis*. States vulnerable to crisis are considered unable or unwilling to adequately assure the provision of security and basic services to significant portions of their populations and/or where the legitimacy of the government is in question. Although Uganda is advancing in many areas, four elements of the country context contribute to its vulnerability: 1) continuing conflict in northern Uganda; 2) the high incidence of corruption; 3) a lack of open political space for debate and democratic movement; and 4) a rapidly increasing population growth, which hampers the adequate provision of basic services to significant portions of the population.

Two strategic objectives target the first three areas of vulnerability: 1) “Mitigating Causes and Consequences of Conflict”, which focuses on peace-building, reconciliation, protection, reintegration, food security and basic economic activity in Uganda’s conflict-affected regions (which constitutes approximately 22% of Uganda’s population); and 2) “Increasing Accountability and Broadening Participation”, with a focus on increasing the fairness of Uganda’s political processes, increasing the effectiveness of civil society, and reducing corruption (which may also be tackled through an MCA Threshold program). The issue of a rapidly growing population has broad development consequences and will be addressed through the Improved Human Capacity SO.

Mitigate causes and consequences of conflict [FY2006 – FY2010]

This will be a new strategic objective focused on mitigating the causes and consequences of conflict in Uganda. It will be structured as a cross-cutting SO with a small core team and part-time participation of Mission staff with expertise in food security, natural resource management, economic livelihoods, basic health, HIV/AIDS, education services, and democracy and governance. The conflict mitigation program will support elements of Framework Goals 3 and 4 for Fragile States, supporting objectives to: 1) advance the peace process; 2) enhance protection of individuals from physical violence; 3) increase access to essential services by local and national institutions; and 4) maintain/restore basic economic activity and livelihoods. The core conflict program is associated with two USAID program components: Mitigate Conflict and Support Peace; and Support Populations at Risk. This SO will seek to improve coordination and cross-sectoral linkages, and to integrate program design and implementation across all technical areas in the Mission.

USAID strives to advance peace and reconciliation processes to end conflict in northern Uganda. As part of the Northern Uganda Peace Initiative, USAID is positioned to provide technical assistance to the GOU negotiating team, including conflict resolution and negotiation skills; promote reconciliation between the GOU and the Acholi people as part of a larger national reconciliation process; and support the Office of the Prime Minister to prepare a National Policy and Institutional Framework for Peace Building and Conflict Resolution. In addition, USAID is well positioned to support peace-building and reconciliation processes at the local level.

USAID will expand access to basic social services in conflict affected areas. In particular, USAID will increase access to health services; HIV/AIDS prevention, care and treatment; tuberculosis diagnosis and treatment; malaria control interventions; programs for orphans and vulnerable children; and family planning. All of these interventions directly address areas of great concern given the high rates of HIV/AIDS infection, tuberculosis and malaria in the North. In addition, exposure to malaria has been an added burden in the North where capacity to control and treat its consequences has been severely limited by conflict and weakened social services. As part of the Presidential Malaria Initiative, the mission seeks tangible gains in reaching approximately 85% of dwellings in IDP camps with control programs. The mission will also support improved educational opportunities for northern Uganda, including seeking creative options for increasing access and the numbers of teachers willing to work in the North. Increasing services will also be accompanied with attention to enhanced public expenditure tracking and district level capacity to absorb and effectively manage central funds.

Another critical element to mitigating the causes and consequences of conflict in northern Uganda involves increasing opportunities for self-reliance through food security and livelihood programs. Whether linked to Title II food assistance or Global Development Alliances, the Mission endeavors to: 1) increase opportunities for income generation, assisting IDPs and returnees to produce cash crops and surplus crops for the markets, and 2) restore and improve subsistence crop production. Restoring subsistence production must proceed in step with reductions in emergency food assistance, and will include assuring the availability of adequate seed supplies and establishing multiplication gardens to

propagate cuttings for the basic staples of the northern Uganda diet, such as sweet potato and cassava. Cash crops and other income generating activities could help facilitate the transition to stability and reintegration and regenerate the region's economy.

A critical rationale for this objective and its protection element is the recognition that material assistance alone does not ensure the well-being of internally displaced and war affected persons. USAID seeks to do more to protect internally displaced and other vulnerable populations from violence, abuse, exploitation, and harassment, including (a) enhancing the monitoring, reporting and responding to protection issues such as violent attacks, provision of security, blockage of humanitarian assistance, and gender-based violence; (b) expanding a "protection lens" to ensure adequate attention to protection issues and options in all programs; and (c) addressing the consequences when protection fails such as through psychosocial and rehabilitation programs.

It is anticipated that USAID/Uganda's multi-sectoral program in conflict mitigation will result in improved humanitarian conditions for the conflict-affected populations of Uganda and set the stage for their eventual reintegration and return. In support of the Agency core goal of providing humanitarian relief, USAID, through the Office of Food for Peace, will continue to provide food and other humanitarian assistance to individuals and households in northern and eastern Uganda who have been displaced by conflict. USAID's Office of US Foreign Disaster Assistance (OFDA) will continue to support activities in sectors such as emergency water and sanitation, health, nutrition, income generation, food security, and emergency relief supplies for IDPs living in camps in northern Uganda. (See Annex 1 for Northern Uganda Action Plan)

This program will focus on the attainment of all three Intermediate Results under the strategic objective for Improved Human Capacity. Under Intermediate Results 8.1 the program will especially contribute to the attainment of IR 8.1.1 "Improved Quality of Social Sector Services; IR 8.1.2 "Increased Availability and Access to Social Services"; and IR 8.1.3 "Positive Behavior Changes Adopted". Under Intermediate Result 8.2 and 8.3, the program will contribute to attainment of IR 8.2.1 "Improved Decentralized Planning, Management and Monitoring" and IR 8.3.1 "Increased Community Participation and Advocacy." This activity will also directly contribute to selected intermediate results under the new strategic objective for Mitigating the Causes and Consequences of Conflict, which is currently under development.

Strategic and Technical Approach

This activity will directly support the implementation of the Government of Uganda's, USAID's and EP's joint commitment to increase HIV/AIDS and infectious disease prevention, care and treatment services to vulnerable populations in Uganda.

USAID/Uganda seeks an implementing partner that will expand access to and utilization of HIV/AIDS, TB and malaria services in the Acholi and Lango subregions, with emphasis on expanding services to the sub-counties and IDP camps beyond the immediate vicinity of the municipalities. Several key components of this activity will include 1) building the capacity of local, indigenous organizations, including CBOs, FBOs and PHA groups, in partnership with public and private health facilities, to deliver HIV/AIDS, TB and malaria services at the community level; 2) increasing access to a continuum of care and support through networked services⁹ for PHAs and their families, and, 3) increasing access of PHAs and their families to wrap around services such as family planning, nutritional programs, water and sanitation activities and income generating initiatives by leveraging funds through effective partnerships with USG and non-USG programs.

⁹ See Essential Design Elements for a description of the network model, page 12.

Improved coordination at the district level and more importantly at the subcounty/IDP camp level will be critical to the success of this program. This program will work in partnership with NACAES and member agencies at the national and district level. Substantive partnerships with local governments, civil society, humanitarian agencies, Uganda People's Defense Forces (UPDF), the Police, UN agencies and other development partners at the local level is expected.

Interventions will vary according to geographical location and will need to remain flexible throughout the life of the activity in order to adequately adapt to the changing security situations in this region: the Acholi subregion will likely focus primarily on service delivery to IDP camps, particularly moving beyond those closest to towns, and reducing vulnerabilities; and, the Lango subregion will likely focus on improving service delivery, with support to strengthening systems and structures. Issues, such as human resources, transportation and security, which uniquely and significantly hinder the delivery and use of services to subcounties and IDP camps in this region should be clearly articulated, addressed and budgeted for with appropriate justification. USAID is prohibited through regulation from paying or supplementing salaries. However, innovative approaches, such as housing, communications systems and transportation (i.e. escorted, specially equipped vehicles) to recruit and retain public sector health staff is strongly encouraged. Public sector partnership and counterpart funding in developing innovative approaches is recommended.

With a primary focus on increasing utilization of HIV/AIDS and infectious disease services beyond the municipalities, it is expected that at least 60% of financial resources will directly support service delivery through direct implementation, purchase of services or subgrants. This program is not expected to be a large umbrella grants program, but it is expected that the procurement of services and subgrants will be effectively employed to expand services. Implementation of activities should be undertaken by partners with the relevant strategic, technical and institutional mandates to deliver HIV/AIDS and infectious disease services in conflict affected districts. Key partnerships with indigenous organizations are strongly encouraged.

It is expected that applicants will already have an established presence in Uganda and experience working in conflict affected districts, will have strong partnerships with local government and civil society organizations, and will facilitate the expansion and delivery of services through direct service delivery or support to partner organizations. Activities through this award will support implementation of the Emergency Plan for HIV/AIDS, the NACAES workplan and the district development plans.

For FY06, the following technical interventions (program areas as defined by the EP) and minimum targets to be achieved were approved in the EP Uganda Country Operational Plan. The recipient is expected to achieve the results outlined below in the first year of program implementation. Resources should be allocated by program area as indicated. Proposed changes in the resource allocation and/or targets to be achieved will require substantive justification, which will then require approval, through USAID, by the Office of the Global AIDS Coordinator. The recipient is encouraged to expand beyond the more traditional/standard interventions such as training, strengthening quality assurance/control systems, infrastructure rehabilitation, information, education, communication and behavior change communication (IEC/BCC) activities to achieve results.

The matrix below provides a number of illustrative activities and wrap around/linkages that can be undertaken in addition to the more traditional interventions.

EP Program areas	EP FY06 Approved funding levels	EP FY06 COP Targets ¹⁰ to be achieved by September 2007	Illustrative activities	Illustrative linkages and wrap-around activities
Prevention –	\$450,000	# reached - \$750,000	<ul style="list-style-type: none"> -Education, advocacy and protection issues related to sexual and gender based violence in camps, which is often manifested through rape and exchange for sex, and often provoked by alcohol use. -Integration into age appropriate interventions for vulnerable children -Life skills training for out of school youth - Condom promotion and distribution to most at risk of contracting or transmitting the virus. -Develop and implement community education and behavior change programs in partnership with UPDF and police 	<ul style="list-style-type: none"> -Coordinate with and complement organizations supporting AB activities, such as those funded through the MGLSD granting mechanism and USAID/W. -Leverage/complement USG health marketing activity
Prevention of Mother to Child Transmission	\$250,000	# reached with counseling and testing – 4,500	<ul style="list-style-type: none"> -Community awareness, increasing partner involvement -Establish/support psychosocial support groups -Link/strengthen referrals to family planning and reproductive health services, HIV care and treatment sites 	<ul style="list-style-type: none"> -Coordinate with WFP food program for HIV+ individuals – foster expansion of WFP to more camps
Counseling and Testing	\$400,000	# reached with counseling and	-Expanded through static sites (HC4's and 3's) and outreaches	-Complement efforts by other agencies targeting youth,

¹⁰ Please refer to Emergency Plan strategic information guidance September 11, 2004 and updates for detailed indicator definitions.

EP Program areas	EP FY06 Approved funding levels	EP FY06 COP Targets ¹⁰ to be achieved by September 2007	Illustrative activities	Illustrative linkages and wrap-around activities
		received test results -15,000	<ul style="list-style-type: none"> -Focus on identifying individuals who are HIV+ and linking to care and treatment services -Establish/strengthen referral to TB and STI diagnosis -Establish/strengthen routine counseling and testing (RCT) within therapeutic feeding centers -Expand access to HCT for children 	municipalities and specific IDP camps
Palliative Care	\$871,966	# reached excl. TB - 15,570	<ul style="list-style-type: none"> -Expand and strengthen delivery of palliative care services including septrin prophylaxis, management of opportunistic infections, psychosocial support and counseling, long lasting insecticide treated mosquito nets, and “prevention with positives” -Build on, complement and strengthen community and home-based care services, particularly those supported through faith and PHA networks/groups at the subcounty and IDP camp level. -Strengthen HC4 and HC3 sites as determined appropriate -Coordinate with UPDF clinics at subcounty level; strengthen as determined appropriate 	<ul style="list-style-type: none"> - Coordinate with and complement efforts through PMI -Improve planning and programming through partnerships with education, agriculture and/or humanitarian assistance and economic sectors to increase access to education, food and nutritional resources and microfinance/microcredit and income generating activities
Palliative Care/TB	\$559,824	# reached – 1,250	<ul style="list-style-type: none"> -Decentralize TB diagnosis and care to the nearest health center, as feasible. -Facilitate integration of TB diagnosis and care with HIV testing and care -Improve identification and diagnosis of TB and improve “case holding” -Strengthen role of subcounty health worker, community workers and treatment supporters to identify and refer individuals for care, and to 	<ul style="list-style-type: none"> -Leverage USAID Infectious Disease resources to strengthen CB-DOTS and integration of HIV/TB at the community level -Coordinate with CDC supported HIV/TB lab program

EP Program areas	EP FY06 Approved funding levels	EP FY06 COP Targets ¹⁰ to be achieved by September 2007	Illustrative activities	Illustrative linkages and wrap-around activities
			support adherence and identify late attendees	
ART – drugs -services	\$1,500,000 \$800,000	# reached - 1,769	-Innovative outreach programs supporting adherence and follow-up within IDP camps drawing on community, faith and PHA groups -Link/ develop referral systems with orphans and other vulnerable children, TB and PMTCT programs -Link with therapeutic feeding centers	-Coordinate with existing USG and GF/MOH activities -Collaborate with WFP to roll-out food support for HIV infected individuals to more IDP camps
Laboratory	\$300,000	# labs supported - 15	-Strengthen lab facilities in existing health structures, with focus on supporting health centers closest to camps -Support rehabilitation, training, equipment and outreaches	-Coordinate with JCRC and CDC laboratory support programs
Strategic Information	\$200,000	TBD	-Develop (as needed) and implement /strengthen innovative and simple approaches to monitor the delivery of all supported HIV/AIDS and TB services within camps -Feed systems into district monitoring and reporting systems	-Coordinate with district monitoring activities through planning units, DHACs, DDMCs, Community Development Office
Other	\$200,000	# local organizations supported with capacity building – 5	-Strengthen district teams responsible for coordination and delivery of HIV/AIDS services, including district health teams, district HIV/AIDS committees and district disaster management committees with emphasis on subcounty and IDP camp level coordination -Support development/updating of HIV/AIDS strategic plans and integration into district development plans -Strengthen partnership between public and civil society partners to support strengthened, comprehensive HIV/AIDS and TB responses -Train humanitarian workers on HIV/AIDS	-Coordinate with NACAES and other support/TA mechanisms, such as UNOCHA

EP Program areas	EP FY06 Approved funding levels	EP FY06 COP Targets ¹⁰ to be achieved by September 2007	Illustrative activities	Illustrative linkages and wrap-around activities
			prevention, care and treatment services -Support/strengthen cost effective and efficient methods for drug and commodity logistics systems	
Total EP Funding	\$5,531,790			

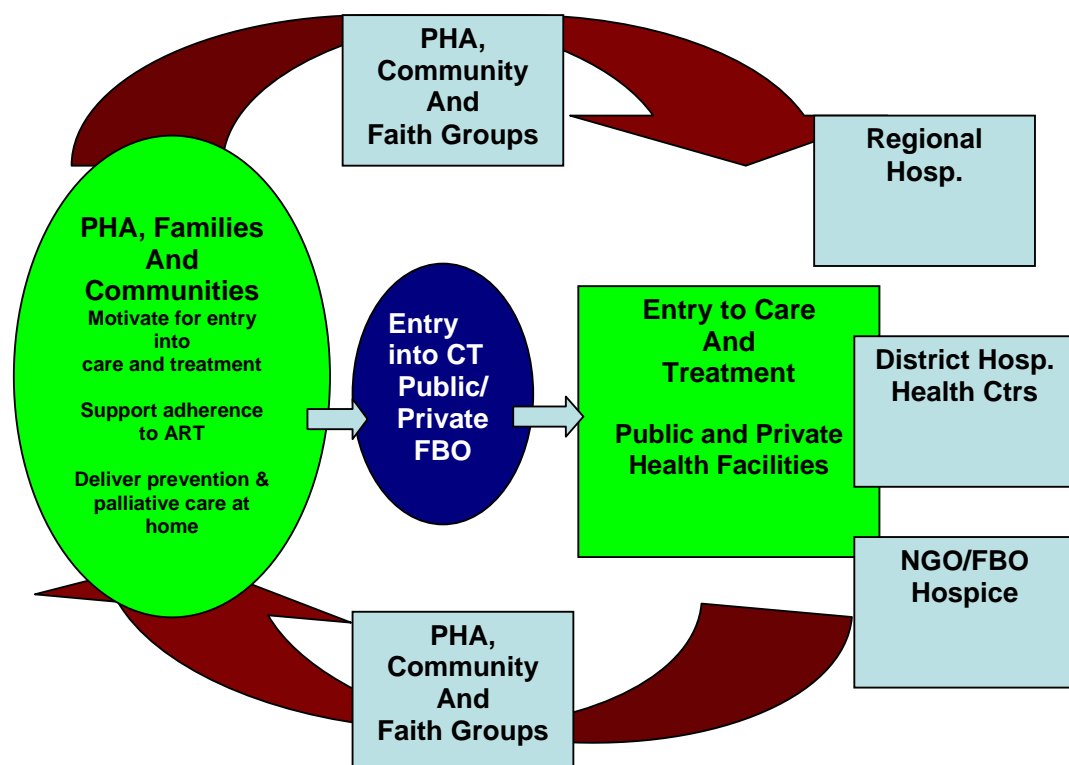
Other Funding Sources

USAID Infectious Disease (Tuberculosis)	\$574,000	Support strengthening of CB-DOTS -Leverage EP funds supporting integration of HIV/TB activities at subcounty / IDP camp level
USAID Presidential Initiative on Malaria (beginning FY07)	No FY06 resources. FY07 resources to be determined during FY07 planning process	-Providing long lasting insecticide treated nets to children 0-5, PHAs and pregnant women -Intermittent preventive therapy for pregnant women

Essential Design Elements

Expanding HIV/AIDS and infectious disease services in the Acholi and Lango subregions will be guided by a set of principles, particularly germane to the USG vision of the Emergency Plan in Uganda as well as USAID Uganda's Results Framework for its Improved Human Capacity Strategic Objective (SO8) and the new Strategic Objective to mitigate the causes and consequences of conflict. Applicants will propose strategies and approaches for the delivery of HIV/AIDS and infectious disease services that are guided by the following principles:

1. The Network Model –



A critical mandate in the President's Emergency Plan (EP) legislation is for countries to develop and implement a network model approach for care and treatment. The USG defines the network model as a continuum of care focusing on identifying and supporting HIV positive individuals so that they can receive prevention, care and treatment services. The network model recognizes that any institution providing these services operates within a milieu of other institutions providing complementary services. By networking these service organizations, the range of services available to patients is greatly expanded. Through strong referral mechanisms between networked service facilities (both public and private), an individual who is identified in one part of the system, for example, a VCT site, will receive services at a clinic providing HIV care and treatment as well as psychosocial support at an AIDS support organization or home-based care. PHA, families and communities are at the heart of the network model because of their instrumental role in identifying individuals needing care and supporting HIV positive individuals to enter and stay in the 'network'.

PHA groups play a central role in motivating HIV + individuals to enter a networked continuum of care through provision of appropriate and personalized basic prevention, care and social support services and through linking HIV+ individuals and their families to service delivery organizations that provide other elements of care, treatment and social support. PHA groups liaise with families and communities to create supportive social environments that encourage people to get tested; to stay negative through effective prevention strategies; to prevent further transmission of the virus and to stay healthy when HIV+; to access care and treatment and other support services; and to adhere to opportunistic infection and ARV treatment regimens. In this way, PHA groups are vital to an effective network, creating demand for services and supporting adherence to these services.

2. Family and Community - A focus on families and communities is one of the pillars of the USG Uganda team's strategy to achieve the Emergency Plan goals. Families and communities are the hub of all HIV/AIDS interventions, playing roles of service providers as well as consumers. Families and communities mobilize, refer individuals for services, and also provide supportive care to those who are HIV positive. At the same time, families and communities are the primary targets for HIV/AIDS interventions, such as counseling and testing, care, support, treatment and prevention. The applicant should present strategies that reflect family and community focus in implementing this PHA program.

3. Gender - Despite strong efforts made by the GOU and its development partners to address gender inequities, wide variations still remain between men and women and girls and boys with regard to access to health services, employment, nutrition, education and economic security. HIV prevalence for women is nearly twice that of men nationwide, speaking to biological factors that increase likelihood of transmission, but also social factors related to sexual behavior such as gender violence and alcohol use/abuse. HIV/AIDS has also increased the burden for family care on women and girls, as they are the first and often primary responders/care providers to people suffering from the HIV/AIDS disease. Sexual and Gender Based Violence (SGBV) and sexual exploitation appear to be widespread in the North and increases the risk of young girls and women to HIV/AIDS and STIs.

Men tend to occupy the vast majority of leadership and decision making positions. The applicant should describe how this program will address gender issues, not only with regard to women and girls' access to services but also in terms of addressing the imbalance in leadership and decision making. In addition, the applicant should present strategies for bolstering male involvement in HIV/AIDS prevention including abstinence, fidelity, partner reduction and family planning, but also in the actual care and support of infected and affected individuals.

4. A focus on Sustainability - One of the vital dimensions of rapid-scale up of HIV/AIDS prevention, care and treatment services is ensuring sustainability of not just the program but also the impact.

The sustainability of HIV/AIDS and infectious disease prevention, care and treatment services and support to their families is dependent on the development of local capacity to design, manage and maintain these services. This program will directly contribute to this principle through the direct technical and institutional capacity building of local indigenous organizations and PHAs networks/groups/clubs to become more involved in the planning, implementation and monitoring of the HIV/AIDS and infectious disease activities. The capacity of civil society, faith and PHA groups to deliver high quality prevention, care and support services and establish effective partnerships with other service providers to link PHAs to a continuum of care, including TB and malaria, through the network model approach is essential.

5. The Greater Involvement of People with HIV/AIDS (GIPA) in Uganda

Uganda's Ministry of Health (MOH) and the Ugandan AIDS Commission have boldly acknowledged the important contribution of PHAs in the fight against HIV/AIDS. In 1994, the GOU signed the Paris Declaration publicly affirming that the greater involvement of people living with or affected by HIV/AIDS is critical to ethical and effective national responses to the epidemic. USAID/Uganda also strongly supports the involvement of PHA networks and groups in facilitating access to HIV/AIDS prevention, care and treatment services to their members.

Implementation and Coordination

Period of Performance

The cooperative agreement will be awarded for an initial 36 months with a two year option period.

Depending on the availability of funds and the achievement of the required results during the first three years, additional funds will be incrementally provided for the cooperative agreement up to completion date (5 years). Thus, the duration of the cooperative agreement will be determined by the resources available, the total costs of the proposed activities, and the effectiveness of the program.

During the first thirty-six months of the activity, the Recipient shall proceed in accordance with the detailed work plan that forms part of its application for funding. Thereafter, performance of the agreement shall be in accordance with a non-competing continuation application, submitted, reviewed, and approved as follows:

The due date for the non-competing continuation application shall be thirty-six months after signature of the cooperative agreement. The application shall consist of a report of progress since the starting of activity and the expenditures incurred during the base period, plus a modified work-plan for the remainder of the program and a budget proposal to support the costs expected to be incurred in the second phase. USAID Uganda will review the continuation application and will advise the recipient of the results of the review no later than 30 days prior to the end of the base program period. If the program proposed in the continuation application is approved and funds are available, the recipient will be advised in writing that it is authorized to continue performance and of the funding available for that purpose.

Monitoring and Evaluation

The progress of the program will be monitored in accordance with the Performance Monitoring Plan. In executing the monitoring and evaluation functions under this program, the recipient shall collaborate and coordinate with USAID's Monitoring and Evaluation Management Services project (MEMS) and the Monitoring and Evaluation of the Emergency Plan Project (MEEPP).

Background Documents

See Section E

SECTION D U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT CERTIFICATIONS, ASSURANCES, OTHER STATEMENTS OF RECIPIENT, AND STANDARD PROVISIONS

PART I - CERTIFICATIONS AND ASSURANCES

1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS

- (a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:
 - (1). Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;
 - (2). Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;
 - (3). The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;
 - (4). Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and
 - (5). USAID regulations implementing the above nondiscrimination laws set forth in Chapter II of Title 22 of the Code of Federal Regulations.
- (b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.
- (c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

2. CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

3. PROHIBITION ON ASSISTANCE TO DRUG TRAFFICKERS FOR COVERED COUNTRIES AND INDIVIDUALS (ADS 206)

USAID reserves the right to terminate this [Agreement/Contract], to demand a refund or take other appropriate measures if the [Grantee/ Contractor] is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned shall review USAID ADS 206 to determine if any certifications are required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to, or take or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

The recipient has reviewed and is familiar with the proposed grant format and the applicable regulations, and takes exception to the following (use a continuation page as necessary):

Solicitation No. _____

Application No. _____

Date of Application: _____

Name of Recipient: _____

Typed Name and Title _____

Signature: _____ Date: _____(MM/DD/YYYY)

- [1] FORMATS\GRNTER: Rev. 06/16/97 (ADS 303.6, E303.5.6a)
- [2] When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement".
- [3] The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary.
- [4] See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A.
- [5] For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

PART II - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:

Name	Title	Telephone No.	Email Address
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

If the recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the recipient's TIN:

TIN: _____

3. CONTRACTOR IDENTIFICATION NUMBER - DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

- (a) In the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the proposal.
- (b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:
- i. Recipient's name.
 - ii. Recipient's address.
 - iii. Recipient's telephone number.
 - iv. Line of business.
 - v. Chief executive officer/key manager.
 - vi. Date the organization was started.
 - vii. Number of people employed by the recipient.
 - viii. Company affiliation.
- (b) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at globalinfo@dbisma.com.

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

If the recipient has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:

LOC: _____

5. PROCUREMENT INFORMATION

- (a) **Applicability.** This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a subgrant or subagreement) to a subgrantee or subrecipient in support of the subgrantee's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.
- (b) **Amount of Procurement.** Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant:

\$ _____

- (c) **Nonexpendable Property.** If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST
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- (d) **Source, Origin, and Componentry of Goods.** If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when: through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items does not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

TYPE/ DESCRIPTION (Generic)	QUANTITY	EST. UNIT COST	GOODS COMPONENTS	PROBABLE SOURCE	GOODS COMPONENTS	PROBABLE ORIGIN
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- (e) **Restricted Goods.** If the recipient plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles,

Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

TYPE/ DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROBABLE SOURCE	PROBABLE ORIGIN	INTENDED USE
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- (f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

TYPE/ DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROBABLE SUPPLIER (Non-US Only)	NATIONALITY	RATIONALE for Non-US
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- (g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share \$500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROPOSED	DISPOSITION
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6. PAST PERFORMANCE REFERENCES

On a continuation page, please provide a list of the most recent and/or current U.S. Government and/or privately-funded contracts, grants, cooperative agreements, etc., and the name, address, and telephone number of the Contract/Agreement Officer or other contact person (see also section B.4).

7. TYPE OF ORGANIZATION

The recipient, by checking the applicable box, represents that -

- (a) If the recipient is a U.S. entity, it operates as ☐ a corporation incorporated under the laws of the State of _____, ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a state or local governmental organization, ☐ a private college or university, ☐ a public college or university, ☐ an international organization, or ☐ a joint venture; or
- (b) If the recipient is a non-U.S. entity, it operates as ☐ a corporation organized under the laws of _____ (country), ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a nongovernmental educational institution, ☐ a governmental organization, ☐ an international organization, or ☐ a joint venture.

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non-color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: _____

Date: _____ (MM/DD/YYYY)

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

1. I hereby certify that within the last ten years:
 - a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
 - b. I am not and have not been an illicit trafficker in any such drug or controlled substance.
 - c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.
2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a) When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". The recipient must obtain from each identified subgrantee and sub-contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

CERTIFICATION REGARDING MATERIAL SUPPORT AND RESOURCES

As a condition of entering into the referenced agreement, _____ hereby certifies that it has not provided and will not provide material support or resources to any individual or entity that it knows, or has reason to know, is an individual or entity that advocates, plans, sponsors, engages in, or has engaged in terrorist activity, including but not limited to the individuals and entities listed in the Annex to Executive Order 13224 and other such individuals and entities that may be later designated by the United States under any of the following authorities: § 219 of the Immigration and Nationality Act, as amended (8 U.S.C. § 1189), the International Emergency Economic Powers Act (50 U.S.C. § 1701 et seq.), the National Emergencies Act (50 U.S.C. § 1601 et seq.), or § 212(a)(3)(B) of the Immigration and Nationality Act, as amended by the USA Patriot Act of 2001, Pub. L. 107-56 (October 26, 2001)(8 U.S.C. §1182). _____ further certifies that it will not provide material support or resources to any individual or entity that it knows, or has reason to know, is acting as an agent for any individual or entity that advocates, plans, sponsors, engages in, or has engaged in, terrorist activity, or that has been so designated, or will immediately cease such support if an entity is so designated after the date of the referenced agreement.

For purposes of this certification, "material support and resources" includes currency or other financial securities, financial services, lodging, training, safe houses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.

For purposes of this certification, "engage in terrorist activity" shall have the same meaning as in section 212(a)(3)(B)(iv) of the Immigration and Nationality Act, as amended (8 U.S.C. § 1182(a)(3)(B) (iv)).

For purposes of this certification, "entity" means a partnership, association, corporation, or other organization, group, or subgroup.

This certification is an express term and condition of the agreement and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

Signature: _____

Name: _____

Date: _____

Address: _____

NOTICE:

If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

PART III – STANDARD PROVISIONS & OTHER REQUIREMENTS

1. IMPLEMENTATION OF E.O. 13224 -- EXECUTIVE ORDER ON TERRORIST FINANCING

"The Recipient is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/subawards issued under this contract/agreement."

2. REVISED REGULATIONS CONCERNING DEBARMENT AND SUSPENSION AND DRUG-FREE WORKPLACE APPLICABLE TO ASSISTANCE

a) DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (JAN 2004)

- (1) The recipient agrees to notify the Agreement Officer immediately upon learning that it or any of its principals:
 - (a) Are presently excluded or disqualified from covered transactions by any Federal department or agency;
 - (b) Have been convicted within the preceding three-years period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, or obstruction of justice; commission of any other offense indicating a lack of business integrity or business honesty that seriously and directly affects your present responsibility;
 - (c) Are presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b); and
 - (d) Have had one or more public transactions (Federal, State, or local) terminated for cause or default within the preceding three years.
- (2) The recipient agrees that, unless authorized by the Agreement Officer, it will not knowingly enter into any subagreements or contracts under this grant with a person or entity that is included on the Excluded Parties List System (<http://epls.arnet.gov>). The recipient further agrees to include the following provision in any subagreements or contracts entered into under this award:

b) DEBARMENT, SUSPENSION, INELIGIBILITY, AND VOLUNTARY EXCLUSION (DECEMBER 2003)

The recipient/contractor certifies that neither it nor its principals is presently excluded or disqualified from participation in this transaction by any Federal department or agency.

- (3) The policies and procedures applicable to debarment, suspension, and ineligibility under USAID-financed transactions are set forth in 22 CFR Part 208.

c) DRUG-FREE WORKPLACE (JANUARY 2004)

- (1) The recipient agrees that it will publish a drug-free workplace statement and provide a copy to each employee who will be engaged in the performance of any Federal award. The statement must

- (a) Tell the employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in its workplace;
 - (b) Specify the actions the recipient will take against employees for violating that prohibition; and
 - (c) Let each employee know that, as a condition of employment under any award, he or she
 - (1) Must abide by the terms of the statement, and
 - (2) Must notify you in writing if he or she is convicted for a violation of a criminal drug statute occurring in the workplace, and must do so no more than five calendar days after the conviction.
- (2) The recipient agrees that it will establish an ongoing drug-free awareness program to inform employees about
 - (a) The dangers of drug abuse in the workplace;
 - (b) Your policy of maintaining a drug-free workplace;
 - (c) Any available drug counseling, rehabilitation and employee assistance programs; and
 - (d) The penalties that you may impose upon them for drug abuse violations occurring in the workplace.
- (3) Without the Agreement Officer's expressed written approval, the policy statement and program must be in place as soon as possible, no later than the 30 days after the effective date of this award, or the completion date of this award, whichever occurs first.
- (4) The recipient agrees to immediately notify the Agreement Officer if an employee is convicted of a drug violation in the workplace. The notification must be in writing, identify the employee's position title, the number of each award on which the employee worked. The notification must be sent to the Agreement Officer within ten calendar days after the recipient learns of the conviction.
- (5) Within 30 calendar days of learning about an employee's conviction, the recipient must either
 - (a) Take appropriate personnel action against the employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973 (29 USC 794), as amended, or
 - (b) Require the employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for these purposes by a Federal, State or local health, law enforcement, or other appropriate agency.
- (6) The policies and procedures applicable to violations of these requirements are set forth in 22 CFR Part 210.

3 ANTI-TRAFFICKING ACTIVITIES -- LIMITATION ON THE USE OF FUNDS; RESTRICTION ON ORGANIZATIONS PROMOTING, SUPPORTING OR ADVOCATING PROSTITUTION

i) ORGANIZATIONS ELIGIBLE FOR ASSISTANCE (JULY 2004)

The U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. None of the funds made available under this agreement may be used to promote, support or advocate the legalization or practice of prostitution. Nothing in the preceding sentence shall be construed to preclude assistance designed to ameliorate the suffering of, or health risks to, victims while they are being trafficked or after they are out

of the situation that resulted from such victims being trafficked. Foreign organizations, whether prime or subrecipients, that receive U.S. Government funds to fight trafficking in persons cannot promote, support or advocate the legalization or practice of prostitution when they are engaged in overseas activities. The preceding sentence shall not apply to organizations that provide services to individuals solely after they are no longer engaged in activities that resulted from such victims being trafficked.”

ii) PROHIBITION ON THE USE OF FEDERAL FUNDS TO PROMOTE, SUPPORT, OR ADVOCATE FOR THE LEGALIZATION OR PRACTICE OF PROSTITUTION - ASSISTANCE (JULY 2004)

- (a) The U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. None of the funds made available under this agreement may be used to promote, support, or advocate the legalization or practice of prostitution. Nothing in the preceding sentence shall be construed to preclude assistance designed to ameliorate the suffering of, or health risks to, victims while they are being trafficked or after they are out of the situation that resulted from such victims being trafficked.
- (b) [This subsection (b) only applies to foreign non-governmental organizations and PIOs receiving U.S. Government funds to carry out programs that target victims of severe forms of trafficking as either prime awardees or subawardees.]
 - (1) For programs that target victims of severe forms of trafficking, as a condition of entering into this agreement or subagreement, the recipient/subrecipient agrees that in its activities outside of the United States and its possessions it does not promote, support, or advocate the legalization or practice of prostitution. The preceding sentence shall not apply to organizations that provide services to individuals solely after they are no longer engaged in activities that resulted from such victims being trafficked.
 - (2) The following definitions apply for purposes of this clause:

FOREIGN NON-GOVERNMENTAL ORGANIZATION – The term “foreign non-governmental organization” means an entity that is not organized under the laws of any State of the United States, the District of Columbia or the Commonwealth of Puerto Rico.

SEVERE FORMS OF TRAFFICKING IN PERSONS -- The term “severe forms of trafficking in persons” means—

- (A) sex trafficking in which a commercial sex act is induced by force, fraud, or coercion, or in which the person induced to perform such act has not attained 18 years of age; or
- (B) the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.
- (c) The recipient shall insert this provision in all sub-agreements under this award.
- (d) This provision includes express terms and conditions of the agreement and any violation of it shall be grounds for unilateral termination, in whole or in part, of the agreement by USAID prior to the end of its term.”

4. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING E.O. 13224

Certification

By signing and submitting this application, the prospective recipient provides the certification set out below:

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.
2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:
 - a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website : <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.
 - b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>
 - c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.
 - d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.
3. For purposes of this Certification-
 - a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."
 - b. "Terrorist act" means-
 - (i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or
 - (ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or
 - (iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

- c. “Entity” means a partnership, association, corporation, or other organization, group or subgroup.
- d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.
- e. The Recipient’s obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

Signed: _____
(Typed Name and Title)

Date

(Name of Organization)

5. SUPPORTING USAID'S DISABILITY POLICY IN CONTRACTS, GRANTS, AND COOPERATIVE AGREEMENTS

For assistance awards (grants and cooperative agreements), when issuing a Request for Applications (RFA), the agreement officer must include the following provision in the RFA and ensure its inclusion as a Special Provision in the schedule of the award itself. AOs are to amend existing grants and cooperative agreements to include the provision, with the recipient's agreement, whenever practicable.

I) USAID Disability Policy - Assistance (December 2004)

(a) The objectives of the USAID Disability Policy are:

- (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation;
- (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries;
- (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and
- (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website:
<http://www.usaid.gov/about/disability/DISABPOL.FIN.html>

(b) USAID therefore requires that the recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant or cooperative agreement. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities."

6. PROCUREMENT OF HIV-AIDS TEST KITS FROM CODE 935 COUNTRIES

a. Procurement in Geographic Code 935 countries is authorized for the test kits listed below.

Approved List of Testing Kit Products and Manufacturers as of February 15, 2005

Product	Source Country	Manufacturer
Bioline	South Korea	Standard Diagnostics
Bionor	Norway	Bionor A/S
Capillus	Ireland	Trinity Biotech*
Determine	Japan	Abbott Laboratories*
DoubleCheck	Israel	Organics
First Response	India	Premier Medical Corporation
Genie II	France	BioRad
Hema-Strip	Singapore	Saliva Diagnostic Systems, Ltd*
HIVSav 1&2	Israel	Sayvon Diagnostics Ltd
Immunocomb	Israel	Organics
Instant Screen	Germany	GAIFAR GmbH
InstantCHEK	USA	EY Laboratories
OraQuick	Singapore	OraSure Technologies
SeroCard	Ireland	Trinity Biotech*
Sero-Strip	Israel	Saliva Diagnostic Systems, Ltd*

Stat-Pack	USA	ChemBio Diagnostics, Inc.
SureCheck HIV	USA	ChemBio Diagnostics, Inc.
Unigold	Ireland	Trinity Biotech

* Parent Company is a United States based firm

b. Choosing test kits for country programs

While purchase of kits on the approved list is authorized, different kits are appropriate for different countries and testing situations. We recommend that kits be evaluated in country for their performance as part of a national testing algorithm. Guidance on HIV rapid test kit evaluation is available at <http://www.phppo.cdc.gov/dls/pdf/HIV%20Test%20Guidelines%20Africa.pdf>.

RAPID HIV TEST KIT TECHNICAL REQUIREMENTS

1. HIV Rapid Test Kits:

HIV rapid tests are defined as assays for detection of antibodies to HIV-1, HIV-2, or both, from which test results can be read directly, within 30 minutes of the time specimen is applied to the device, without calibration, interpretation, or calculations. Qualifications for HIV rapid test kits are listed below. The only acceptable kits are those meeting the test characteristics described below. Acceptable kits may change periodically as evaluation data on kit performance is updated.

A. Test Characteristics:

- i. Documentation from manufacturer studies that test has sensitivity of at least 99% and specificity of at least 98% for detection of HIV-1 in each sample matrix for which the test is designed (e.g., whole blood, serum, plasma, oral fluid or urine). Data should be based on at least 500 HIV negative and 500 HIV-1 positive specimens. If test claims to detect both HIV-1 and HIV-2, sensitivity for HIV-2 should be demonstrated with evaluation of 50 HIV-2 positive specimens, and must be at least 99%.
- ii. One or more credible evaluations by internationally recognized independent institutions validating that sensitivity and specificity of the tests are within 95% +/- 2% confidence interval of that demonstrated in manufacturer's studies (criterion i.). Approximately 200 HIV-positive and 200 HIV-negative specimens are needed to provide 95% confidence intervals of less than $\pm 2\%$ for both the estimated sensitivity and specificity. A document that describes the process of such an evaluation can be found at: <http://www.phppo.cdc.gov/dls/pdf/HIV%20Test%20Guidelines%20Africa.pdf>
- iii. Presence of a normal internal control or other failure alert mechanism to notify the operator if the assay malfunctions. Also, having external controls that assure the presence of functional test antigens in the test platform will be very useful.

B. Performance Characteristics:

- 1). Use direct, unprocessed specimens (e.g., unprocessed whole blood or oral fluid) or samples that require minimal processing (e.g., serum or plasma).
- 2). All reagents including diluents are included in kit, and require no technique-dependent reagent manipulation (e.g., no reconstitution)
- 3). No operator intervention or procedural steps during the analysis after initial addition of specimen and reagents.
- 4). No requirements for assay-specific equipment.

- 5). Kits and all reagents stored at temperatures recommended by manufacturers shall have a minimum 1-year shelf life when received by contractors.

C. Manufacturing Characteristics:

The HIV rapid test kits must be purchased from manufacturers of those kits that meet the test characteristics and performance characteristics, described in sections A. and B., and manufacturing characteristics described below. As the list of tests is updated, the eligible manufacturers may change.

Eligible manufacturers must have:

- i. Documented production capacity to provide the number of kits needed by USG programs for current and projected assay usage (e.g., 200,000 – 500,000 test kits needed annually), and ability to deliver a minimum of 45,000 test kits within 90 days of order.
- ii. Availability of data to document reproducible performance across different lots of assay.
- iii. Ability to ship to international sites.
- iv. Documentation of export certificate, when required.

7 IMPLEMENTATION OF THE UNITED STATES LEADERSHIP AGAINST HIV/AIDS, TUBERCULOSIS AND MALARIA ACT OF 2003 – ELIGIBILITY LIMITATION ON THE USE OF FUNDS AND OPPOSITION TO PROSTITUTION AND SEX TRAFFICKING

- A. For Assistance Awards (grants and cooperative agreements) to U.S. nongovernmental, non-U.S. non-governmental, and Public International Organizations (PIOs):

a) ORGANIZATIONS ELIGIBLE FOR ASSISTANCE (ASSISTANCE) (JUNE 2005)

An organization that is otherwise eligible to receive funds under this agreement to prevent, treat, or monitor HIV/AIDS shall not be required to endorse or utilize a multisectoral approach to combatting HIV/AIDS, or to endorse, utilize, or participate in a prevention method or treatment program to which the organization has a religious or moral objection.

b) CONDOMS (ASSISTANCE) (JUNE 2005)

Information provided about the use of condoms as part of projects or activities that are funded under this agreement shall be medically accurate and shall include the public health benefits and failure rates of such use and shall be consistent with USAID's fact sheet entitled, "USAID: HIV/STI Prevention and Condoms. This fact sheet may be accessed at:

http://www.usaid.gov/our_work/global_health/aids/TechAreas/prevention/condomfactsheet.html

c) PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE) (JUNE 2005)

- (a) The U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. None of the funds made available under this agreement may be used to promote or advocate the legalization or practice of prostitution or sex trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or post-exposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides.
- (b) Except as noted in the second sentence of this paragraph, as a condition of entering into this agreement or any subagreement, a non-governmental organization or public international organization recipient/subrecipient must have a policy explicitly opposing prostitution and sex

trafficking. The following organizations are exempt from this paragraph: the Global Fund to Fight AIDS, Tuberculosis and Malaria; the World Health Organization; the International AIDS Vaccine Initiative; and any United Nations agency.

- (c) The following definition applies for purposes of this provision:

Sex trafficking means the recruitment, harboring, transportation, provision, or obtaining of a person for the purpose of a commercial sex act. 22 U.S.C. 7102(9).

- (d) The recipient shall insert this provision, which is a standard provision, in all subagreements.
- (e) This provision includes express terms and conditions of the agreement and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

(End of Provision)

CERTIFICATION

This certification requirement only applies to the prime recipient. Before a U.S. or non-U.S. non-governmental organization receives FY04-FY08 HIV/AIDS funds under a grant or cooperative agreement, such recipient must provide to the Agreement Officer a certification substantially as follows:

“[Recipient's name] certifies compliance as applicable with the standard provisions entitled “Condoms” and “Prohibition on the Promotion or Advocacy of the Legalization or Practice of Prostitution or Sex Trafficking” included in the referenced agreement.”

8 REVISED STANDARD PROVISION FOR NON-GOVERNMENTAL ORGANIZATIONS

i) APPLICABILITY OF 22 CFR PART 226 (May 2005)

- (a) All provisions of 22 CFR Part 226 and all Standard Provisions attached to this agreement are applicable to the recipient and to subrecipients which meet the definition of "Recipient" in Part 226, unless a section specifically excludes a subrecipient from coverage. The recipient shall assure that subrecipients have copies of all the attached standard provisions.
- (b) For any subawards made with Non-US subrecipients the Recipient shall include the applicable "Standard Provisions for Non-US Nongovernmental Grantees." Recipients are required to ensure compliance with subrecipient monitoring procedures in accordance with OMB Circular A-133.

9 MARKING UNDER ASSISTANCE INSTRUMENTS

I BRANDING STRATEGY - ASSISTANCE (December 2005)

(a) Definitions

Branding Strategy means a strategy that is submitted at the specific request of a USAID Agreement Officer by an Apparently Successful Applicant after evaluation of an application for USAID funding, describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens. It identifies all donors and explains how they will be acknowledged.

Apparently Successful Applicant(s) means the applicant(s) for USAID funding recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Agreement Officer. The Agreement Officer will request that the Apparently Successful Applicants submit a Branding Strategy and Marking Plan. Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award.

USAID Identity (Identity) means the official marking for the Agency, comprised of the USAID logo and new brandmark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and is provided without royalty, license, or other fee to recipients of USAID-funded grants or cooperative agreements or other assistance awards or subawards.

(b) Submission.

The Apparently Successful Applicant, upon request of the Agreement Officer, will submit and negotiate a Branding Strategy. The Branding Strategy will be included in and made a part of the resulting grant or cooperative agreement. The Branding Strategy will be negotiated within the time that the Agreement Officer specifies. Failure to submit and negotiate a Branding Strategy will make the applicant ineligible for award of a grant or cooperative agreement. The Apparently Successful Applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events and materials, and the like.

(c) Submission Requirements

At a minimum, the Apparently Successful Applicant's Branding Strategy will address the following:

(1) Positioning

What is the intended name of this program, project, or activity?

Guidelines: USAID prefers to have the USAID Identity included as part of the program or project name, such as a "title sponsor," if possible and appropriate. It is acceptable to "co-brand" the title with USAID's and the Apparently Successful Applicant's identities. For example: "The USAID and [Apparently Successful Applicant] Health Center."

If it would be inappropriate or is not possible to "brand" the project this way, such as when rehabilitating a structure that already exists or if there are multiple donors, please explain and indicate how you intend to showcase USAID's involvement in publicizing the program or project. *For example: School #123, rehabilitated by USAID and [Apparently Successful Applicant]/ [other donors].* Note: the Agency prefers "made possible by (or with) the generous support of the American People" next to the USAID Identity in acknowledging our contribution, instead of the phrase "funded by." USAID prefers local language translations.

Will a program logo be developed and used consistently to identify this program? If yes, please attach a copy of the proposed program logo.

Note: USAID prefers to fund projects that do NOT have a separate logo or identity that competes with the USAID Identity.

(2) Program Communications and Publicity

Who are the primary and secondary audiences for this project or program?

Guidelines: Please include direct beneficiaries and any special target segments or influencers. *For Example: Primary audience: schoolgirls age 8-12, Secondary audience: teachers and parents—specifically mothers*

What communications or program materials will be used to explain or market the program to beneficiaries?

Guidelines: These include training materials, posters, pamphlets, Public Service Announcements, billboards, websites, and so forth.

What is the main program message(s)?

Guidelines: *For example: "Be tested for HIV-AIDS" or "Have your child inoculated."* Please indicate if you also plan to incorporate USAID's primary message – this aid is "from the American people" – into the narrative of program materials. This is optional; however, marking with the USAID Identity is required.

Will the recipient announce and promote publicly this program or project to host country citizens? If yes, what press and promotional activities are planned?

Guidelines: These may include media releases, press conferences, public events, and so forth. Note: incorporating the message, "USAID from the American People", and the USAID Identity is required.

Please provide any additional ideas about how to increase awareness that the American people support this project or program.

Guidelines: One of our goals is to ensure that both beneficiaries and host-country citizens know that the aid the Agency is providing is "from the American people." Please provide any initial ideas on how to further this goal.

(3) Acknowledgements

Will there be any direct involvement from a host-country government ministry? If yes, please indicate which one or ones. Will the recipient acknowledge the ministry as an additional co-sponsor?

Note: it is perfectly acceptable and often encouraged for USAID to "co-brand" programs with government ministries.

Please indicate if there are any other groups whose logo or identity the recipient will use on program materials and related communications.

Guidelines: Please indicate if they are also a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID.

- (d) **Award Criteria.** The Agreement Officer will review the Branding Strategy for adequacy, ensuring that it contains the required information on naming and positioning the USAID-funded program, project, or activity, and promoting and communicating it to cooperating country beneficiaries and citizens. The Agreement Officer also will evaluate this information to ensure that it is consistent with the stated objectives of the award; with the Apparently Successful Applicant's cost data submissions; with the Apparently Successful Applicant's project, activity, or program performance plan; and with the regulatory requirements set out in 22 CFR 226.91. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

II MARKING PLAN – ASSISTANCE (December 2005)

(a) Definitions

Marking Plan means a plan that the Apparently Successful Applicant submits at the specific request of a USAID Agreement Officer after evaluation of an application for USAID funding, detailing the public communications, commodities, and program materials and other items that will visibly bear the USAID Identity. Recipients may request approval of Presumptive Exceptions to marking requirements in the Marking Plan.

Apparently Successful Applicant(s) means the applicant(s) for USAID funding recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Agreement Officer. The Agreement Officer will request that Apparently Successful Applicants submit a Branding Strategy and Marking Plan. Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award, which the Agreement Officer must still obligate.

USAID Identity (Identity) means the official marking for the Agency, comprised of the USAID logo and new brandmark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and USAID provides it without royalty, license, or other fee to recipients of USAID-funded grants, cooperative agreements, or other assistance awards or subawards.

A Presumptive Exception exempts the applicant from the general marking requirements for a *particular* USAID-funded public communication, commodity, program material or other deliverable, or a *category* of USAID-funded public communications, commodities, program materials or other deliverables that would otherwise be required to visibly bear the USAID Identity. The Presumptive Exceptions are:

Presumptive Exception (i). USAID marking requirements may not apply if they would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials, such as election monitoring or ballots, and voter information literature; political party support or public policy advocacy or reform; independent media, such as television and radio broadcasts, newspaper articles and editorials; and public service announcements or public opinion polls and surveys (22 C.F.R. 226.91(h)(1)).

Presumptive Exception (ii). USAID marking requirements may not apply if they would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent (22 C.F.R. 226.91(h)(2)).

Presumptive Exception (iii). USAID marking requirements may not apply if they would undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official (22 C.F.R. 226.91(h)(3)).

Presumptive Exception (iv). USAID marking requirements may not apply if they would impair the functionality of an item, such as sterilized equipment or spare parts (22 C.F.R. 226.91(h)(4)).

Presumptive Exception (v). USAID marking requirements may not apply if they would incur substantial costs or be impractical, such as items too small or otherwise unsuited for individual marking, such as food in bulk (22 C.F.R. 226.91(h)(5)).

Presumptive Exception (vi). USAID marking requirements may not apply if they would offend local cultural or social norms, or be considered inappropriate on such items as condoms, toilets, bed pans, or similar commodities (22 C.F.R. 226.91(h)(6)).

Presumptive Exception (vii). USAID marking requirements may not apply if they would conflict with international law (22 C.F.R. 226.91(h)(7)).

- (b) **Submission.** The Apparently Successful Applicant, upon the request of the Agreement Officer, will submit and negotiate a Marking Plan that addresses the details of the public communications, commodities, program materials that will visibly bear the USAID Identity. The marking plan will be customized for the particular program, project, or activity under the resultant grant or cooperative agreement. The plan will be included in and made a part of the resulting grant or cooperative agreement. USAID and the Apparently Successful Applicant will negotiate the Marking Plan within the time specified by the Agreement Officer. Failure to submit and negotiate a Marking Plan will make the applicant ineligible for award of a grant or cooperative agreement. The applicant must include an estimate of all costs associated with branding and marking USAID programs, such as plaques, labels, banners, press events, promotional materials, and so forth in the budget portion of its application. These costs are subject to revision and negotiation with the Agreement Officer upon submission of the Marking Plan and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.
- (c) **Submission Requirements.** The Marking Plan will include the following:
- (1) A description of the public communications, commodities, and program materials that the recipient will be produced as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity. These include:
 - (i) program, project, or activity sites funded by USAID, including visible infrastructure projects or other programs, projects, or activities that are physical in nature;
 - (ii) technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID;
 - (iii) events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences, and other public activities; and
 - (iv) all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies and other materials funded by USAID, and their export packaging.
 - (2) A table specifying:
 - (i) the program deliverables that the recipient will mark with the USAID Identity,
 - (ii) the type of marking and what materials the applicant will be used to mark the program deliverables with the USAID Identity, and
 - (iii) when in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking.
 - (3) A table specifying:
 - (i) what program deliverables will not be marked with the USAID Identity, and
 - (ii) the rationale for not marking these program deliverables.

(d) **Presumptive Exceptions.**

- (1) The Apparently Successful Applicant may request a Presumptive Exception as part of the overall Marking Plan submission. To request a Presumptive Exception, the Apparently Successful Applicant must identify which Presumptive Exception applies, and state why, in light of the Apparently Successful Applicant's technical proposal and in the context of the program description or program statement in the USAID Request For Application or Annual Program Statement, marking requirements should not be required.
- (2) Specific guidelines for addressing each Presumptive Exception are:
 - (i) For Presumptive Exception (i), identify the USAID Strategic Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why the program, project, activity, commodity, or communication is 'intrinsically neutral.' Identify, by category or deliverable item, examples of program materials funded under the award for which you are seeking exception 1.
 - (ii) For Presumptive Exception (ii), state what data, studies, or other deliverables will be produced under the USAID funded award, and explain why the data, studies, or deliverables must be seen as credible.
 - (iii) For Presumptive Exception (iii), identify the item or media product produced under the USAID funded award, and explain why each item or product, or category of item and product, is better positioned as an item or product produced by the cooperating country government.
 - (iv) For Presumptive Exception (iv), identify the item or commodity to be marked, or categories of items or commodities, and explain how marking would impair the item's or commodity's functionality.
 - (v) For Presumptive Exception (v), explain why marking would not be cost-beneficial or practical.
 - (vi) For Presumptive Exception (vi), identify the relevant cultural or social norm, and explain why marking would violate that norm or otherwise be inappropriate.
 - (vii) For Presumptive Exception (vii), identify the applicable international law violated by marking.
- (3) The Agreement Officer will review the request for adequacy and reasonableness. In consultation with the Cognizant Technical Officer and other agency personnel as necessary, the Agreement Officer will approve or disapprove the requested Presumptive Exception. Approved exceptions will be made part of the approved Marking Plan, and will apply for the term of the award, unless provided otherwise.

- (e) **Award Criteria:** The Agreement Officer will review the Marking Plan for adequacy and reasonableness, ensuring that it contains sufficient detail and information concerning public communications, commodities, and program materials that will visibly bear the USAID Identity. The Agreement Officer will evaluate the plan to ensure that it is consistent with the stated objectives of the award; with the applicant's cost data submissions; with the applicant's actual project, activity, or program performance plan; and with the regulatory requirements of 22 C.F.R. 226.91. The Agreement Officer will approve or disapprove any requested Presumptive Exceptions (see paragraph (d)) on the basis of adequacy and reasonableness. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

III MARKING UNDER USAID-FUNDED ASSISTANCE INSTRUMENTS (December 2005)

(a) Definitions

Commodities mean any material, article, supply, goods or equipment, excluding recipient offices, vehicles, and non-deliverable items for recipient's internal use, in administration of the USAID funded grant, cooperative agreement, or other agreement or subagreement.

Principal Officer means the most senior officer in a USAID Operating Unit in the field, e.g., USAID Mission Director or USAID Representative. For global programs managed from Washington but executed across many countries, such as disaster relief and assistance to internally displaced persons, humanitarian emergencies or immediate post conflict and political crisis response, the cognizant Principal Officer may be an Office Director, for example, the Directors of USAID/W/Office of Foreign Disaster Assistance and Office of Transition Initiatives. For non-presence countries, the cognizant Principal Officer is the Senior USAID officer in a regional USAID Operating Unit responsible for the non-presence country, or in the absence of such a responsible operating unit, the Principal U.S Diplomatic Officer in the non-presence country exercising delegated authority from USAID.

Programs mean an organized set of activities and allocation of resources directed toward a common purpose, objective, or goal undertaken or proposed by an organization to carry out the responsibilities assigned to it.

Projects include all the marginal costs of inputs (including the proposed investment) technically required to produce a discrete marketable output or a desired result (for example, services from a fully functional water/sewage treatment facility).

Public communications are documents and messages intended for distribution to audiences external to the recipient's organization. They include, but are not limited to, correspondence, publications, studies, reports, audio visual productions, and other informational products; applications, forms, press and promotional materials used in connection with USAID funded programs, projects or activities, including signage and plaques; Web sites/Internet activities; and events such as training courses, conferences, seminars, press conferences and so forth.

Subrecipient means any person or government (including cooperating country government) department, agency, establishment, or for profit or nonprofit organization that receives a USAID subaward, as defined in 22 C.F.R. 226.2.

Technical Assistance means the provision of funds, goods, services, or other foreign assistance, such as loan guarantees or food for work, to developing countries and other USAID recipients, and through such recipients to subrecipients, in direct support of a development objective – as opposed to the internal management of the foreign assistance program.

USAID Identity (Identity) means the official marking for the United States Agency for International Development (USAID), comprised of the USAID logo or seal and new brandmark, with the tagline that clearly communicates that our assistance is “from the American people.” The USAID Identity is available on the USAID website at <http://www.usaid.gov/branding> and USAID provides it without royalty, license, or other fee to recipients of USAID-funded grants, or cooperative agreements, or other assistance awards.

(b) Marking of Program Deliverables

- (1) All recipients must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID grant or cooperative agreement or other assistance award or subaward with the USAID Identity, of a size and prominence equivalent to or greater than the recipient's, other donor's, or any other third party's identity or logo.

- (2) The Recipient will mark all program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) with the USAID Identity. The Recipient should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the Recipient must install a permanent, durable sign, plaque or other marking.
- (3) The Recipient will mark technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID with the USAID Identity.
- (4) The Recipient will appropriately mark events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities, with the USAID Identity. Unless directly prohibited and as appropriate to the surroundings, recipients should display additional materials, such as signs and banners, with the USAID Identity. In circumstances in which the USAID Identity cannot be displayed visually, the recipient is encouraged otherwise to acknowledge USAID and the American people's support.
- (5) The Recipient will mark all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies, and other materials funded by USAID, and their export packaging with the USAID Identity.
- (6) The Agreement Officer may require the USAID Identity to be larger and more prominent if it is the majority donor, or to require that a cooperating country government's identity be larger and more prominent if circumstances warrant, and as appropriate depending on the audience, program goals, and materials produced.
- (7) The Agreement Officer may require marking with the USAID Identity in the event that the recipient does not choose to mark with its own identity or logo.
- (8) The Agreement Officer may require a pre-production review of USAID-funded public communications and program materials for compliance with the approved Marking Plan.
- (9) Subrecipients. To ensure that the marking requirements "flow down" to subrecipients of subawards, recipients of USAID funded grants and cooperative agreements or other assistance awards will include the USAID-approved marking provision in any USAID funded subaward, as follows:

"As a condition of receipt of this subaward, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient's, subrecipient's, other donor's or third party's is required. In the event the recipient chooses not to require marking with its own identity or logo by the subrecipient, USAID may, at its discretion, require marking by the subrecipient with the USAID Identity."
- (10) Any 'public communications', as defined in 22 C.F.R. 226.2, funded by USAID, in which the content has not been approved by USAID, must contain the following disclaimer:

"This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility of [insert recipient name] and do not necessarily reflect the views of USAID or the United States Government."
- (11) The recipient will provide the Cognizant Technical Officer (CTO) or other USAID personnel designated in the grant or cooperative agreement with two copies of all program and

communications materials produced under the award. In addition, the recipient will submit one electronic or one hard copy of all final documents to USAID's Development Experience Clearinghouse.

(c) Implementation of marking requirements.

- (1) When the grant or cooperative agreement contains an approved Marking Plan, the recipient will implement the requirements of this provision following the approved Marking Plan.
- (2) When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within [*Agreement Officer fill-in*] days after the effective date of this provision. The plan will include:
 - (i) A description of the program deliverables specified in paragraph (b) of this provision that the recipient will produce as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity.
 - (ii) the type of marking and what materials the applicant uses to mark the program deliverables with the USAID Identity,
 - (iii) when in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking,
- (3) The recipient may request program deliverables not be marked with the USAID Identity by identifying the program deliverables and providing a rationale for not marking these program deliverables. Program deliverables may be exempted from USAID marking requirements when:
 - (i) USAID marking requirements would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;
 - (ii) USAID marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;
 - (iii) USAID marking requirements would undercut host-country government "ownership" of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as "by" or "from" a cooperating country ministry or government official;
 - (iv) USAID marking requirements would impair the functionality of an item;
 - (v) USAID marking requirements would incur substantial costs or be impractical;
 - (vi) USAID marking requirements would offend local cultural or social norms, or be considered inappropriate;
 - (vii) USAID marking requirements would conflict with international law.
- (4) The proposed plan for implementing the requirements of this provision, including any proposed exemptions, will be negotiated within the time specified by the Agreement Officer after receipt of the proposed plan. Failure to negotiate an approved plan with the time specified by the Agreement Officer may be considered as noncompliance with the requirements is provision.

(d) Waivers.

- (1) The recipient may request a waiver of the Marking Plan or of the marking requirements of this provision, in whole or in part, for each program, project, activity, public communication or commodity, or, in exceptional circumstances, for a region or country, when USAID required marking would pose compelling political, safety, or security concerns, or when marking would have an adverse impact in the cooperating country. The recipient will submit the request through the Cognizant Technical Officer. The Principal Officer is responsible for approvals or disapprovals of waiver requests.
- (2) The request will describe the compelling political, safety, security concerns, or adverse impact that require a waiver, detail the circumstances and rationale for the waiver, detail the specific requirements to be waived, the specific portion of the Marking Plan to be waived, or specific marking to be waived, and include a description of how program materials will be marked (if at all) if the USAID Identity is removed. The request should also provide a rationale for any use of recipient's own identity/logo or that of a third party on materials that will be subject to the waiver.
- (3) Approved waivers are not limited in duration but are subject to Principal Officer review at any time, due to changed circumstances.
- (4) Approved waivers "flow down" to recipients of subawards unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.
- (5) Determinations regarding waiver requests are subject to appeal to the Principal Officer's cognizant Assistant Administrator. The recipient may appeal by submitting a written request to reconsider the Principal Officer's waiver determination to the cognizant Assistant Administrator.

- (e) Non-retroactivity.** The requirements of this provision do apply to any materials, events, or commodities produced prior to January 2, 2006. The requirements of this provision do not apply to program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) where the construction and implementation of these are complete prior to January 2, 2006 and the period of the grant does not extend past January 2, 2006.

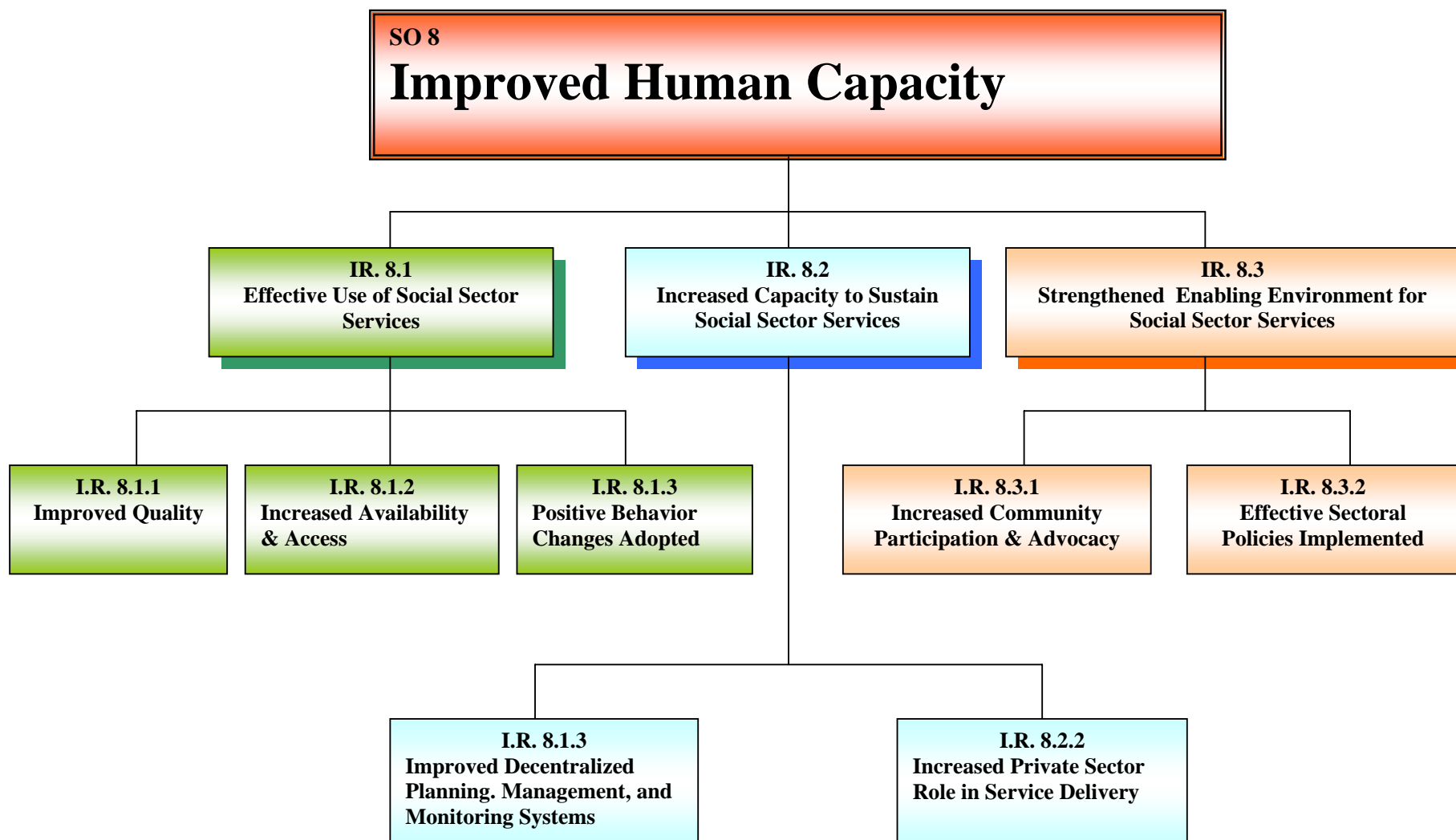
SECTION E ANNEXES

Background Documents

1. USAID Integrated Strategic Plan 2002 – 2007: <http://www.usaid.or.ug>
2. US 5 Year Global HIV/AIDS Strategic Plan: <http://kampala.usembassy.gov>
3. White Paper on U.S. Foreign Aid, Meeting Challenges of the Twenty-first Century, Bureau for Policy and Program Coordination, USAID: <http://www.usaid.gov/policy/pdabz3221.pdf>

Other background documents are attached to the RFA.

4. SO 8 RESULTS FRAMEWORK



Survey on Ensuring Equal Opportunity for Applicants

OMB No. 1890-0014 Exp. 1/31/2006

Purpose: The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

Instructions for Submitting the Survey: If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

Applicant's (Organization) Name: _____

Applicant's DUNS Number: _____

Grant Name: _____ **CFDA Number:** _____

1. Does the applicant have 501(c)(3) status?

☐ Yes

☐ No

2. How many full-time equivalent employees does the applicant have? (Check only one box).

☐ 3 or Fewer

☐ 15-50

☐ 4-5

☐ 51-100

☐ 6-12

☐ over 100

3. What is the size of the applicant's annual budget? (Check only one box.)

☐ Less than \$150,000

☐ \$150,000 - \$299,999

☐ \$300,000 - \$499,999

☐ \$500,000 - \$999,999

☐ \$1,000,000 - \$4,999,999

☐ \$5,000,000 or more

4. Is the applicant a faith-based/religious organization?

☐ Yes

☐ No

5. Is the applicant a non-religious community based organization?

☐ Yes

☐ No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

☐ Yes

☐ No

7. Has the applicant ever received a government grant or contract (Federal, State, or local)?

☐ Yes

☐ No

8. Is the applicant a local affiliate of a national organization?

☐ Yes

☐ No

Survey Instructions on Ensuring Equal Opportunity for Applicants

Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.

1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
3. Annual budget means the amount of money our organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An "intermediary" is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.
7. Self-explanatory.
8. Self-explanatory.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651.

If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, D.C. 20202-4725.

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Page 64 of 70

INSTRUCTIONS FOR THE SF424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain application certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:	Entry:	Item:	Entry:
1.	Select Type of Submission.	11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).	12.	List only the largest political entities affected (e.g., State, counties, cities).
3.	State use only (if applicable).	13.	Enter the proposed start date and end date of the project.
4.	Enter Date Received by Federal Agency Federal identifier number: If this application is a continuation or revision to an existing award, enter the present Federal Identifier number. If for a new project, leave blank.	14.	List the applicant's Congressional District and any District(s) affected by the program or project
5.	Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter the organization's DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application.	15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.
7.	Select the appropriate letter in the space provided. <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School District </div> <div style="width: 45%;"> I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify) O. Net for Profit Organization </div> </div>	17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
8.	Select the type from the following list: - "New" means a new assistance award. - "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date. - "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision enter the appropriate letter: <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;">A. Increase Award C. Increase Duration</div> <div style="width: 45%;">B. Decrease Award D. Decrease Duration</div> </div>	18.	To be signed by the authorized representative of the applicant A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)
9.	Name of Federal agency from which assistance is being requested with this application.		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.		

BUDGET INFORMATION - Non-Construction Programs

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assist- ance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	1 (
1.	-					
2.	-					
3.	-					
4.	-					
5. Totals						
		Grant Program Function or Activity				1 (
6. Object Class Categories		(1)	(2)	(3)	(4)	
a. Personnel						
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual						
g. Construction						
h. Other						
i. Total Direct Charges (Sum of 6a-6h)						
j. Indirect Charges						
k. TOTALS (Sum of 6i and 6j)						
7. Program Income						

BUDGET INFORMATION - Non-Construction Programs (cont'd)

(a) Grant Program		(b) Applicant	(c) State	(d) Other Sources	(
8.					
9.					
10.					
11.					
12. TOTAL (Sum of lines 8-11)					
	Total Amt 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4
13. Federal					
14. Non-Federal					
15. TOTAL (Sum of lines 13 and 14)					
(a) Grant Program		FUTURE FUNDING PERIODS (Years)			
		(b) First	(c) Second	(d) Third	(
16.					
17.					
18.					
19.					
20. TOTAL (Sum of lines 16-19)					
21. Direct Charges:		22. Indirect Charges:			
23. Remarks:					

INSTRUCTION FOR THE SF424A

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0044), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a - k of Section B.

Section A, Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a single Federal grant program (Federal activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a single program requiring budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to multiple programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should always provide the summary totals by programs.

Lines 1-4 Columns (c) through (g)

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in Columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (c) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (c) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (c) and (f).

Line 5 - Show the totals for all columns used

Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4. Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a - i Show the totals of Lines 6a to 6h in each column.

Line 6j Show the amount of indirect cost.

Line 6k - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount

in Column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Column (1) - (4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal Resources

Lines 8-11 Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources

Column (e) Enter total of columns (b), (c) and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (c) should be equal to the amount on Line 5, Column (f), Section A.

Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project.

Lines 16-19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary

Line 20 - Enter the total for each of the Columns (b)-(e). When schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Provide any other explanations or comments deemed necessary.

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited by (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) 42 U.S.C. 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 cc-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. 276a to 276z - 276a-7), the Copeland Act (40 U.S.C. 276c and 18 U.S.C. 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard are to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

ASSURANCES - NON-CONSTRUCTION PROGRAMS (cont'd)

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (E.O.) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. 17401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will ensure to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984 or OMB Circular No. A-133, Audits of Institutions or Higher Learning and other Non-profit Institutions.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED